

Agenda

Item #10



STATE OF MAINE
COMMISSION ON GOVERNMENTAL ETHICS
AND ELECTION PRACTICES
135 STATE HOUSE STATION
AUGUSTA, MAINE
04333-0135

To: Commissioners
From: Jonathan Wayne, Executive Director
Date: March 21, 2010
Re: Request by Joseph and Michele Greenier

After gathering preliminary factual information, the staff of the Ethics Commission recommends taking no action on the request by Joseph and Michele Greenier for an investigation of Roger Katz's 2010 campaign.

Campaign's Debt to Modern Screen Print

Roger Katz ran for the first time for State Senate in 2010 as a Maine Clean Election Act (MCEA) candidate. Around November 8 or 9, 2010, he called the Commission office to explain that his 2010 campaign had less than \$100 of MCEA funds remaining and owed a debt to a vendor, Modern Screen Print in Bangor, for campaign signs. The Commission staff continues to believe that Mr. Katz showed good faith in coming forward to the Commission with the problem. Candidate Registrar Gavin O'Brien advised him to pay the bill with personal funds and to write a letter to the Commission explaining the circumstances.

Mr. Katz explained in a follow-up letter dated November 11, 2010 that:

- a volunteer had made a second purchase of signs from Modern Screen Print (MSP).
- Mr. Katz presumed that the campaign would receive a bill, but none arrived. (The campaign's mailing address was the candidate's residence in Augusta.)
- The candidate failed to notice the absence of the bill.
- On November 5, 2010, Mr. Katz received a call from the volunteer stating that MSP was calling to request payment.

- Mr. Katz checked his files, but there was no record of receiving the invoice.
- On Monday, November 8, 2010, Mr. Katz received what he believed to be a copy of the original bill dated “9/23/2010,” which was enclosed with his letter.
- A representative of MSP told Mr. Katz that this invoice was mailed to his home address in September 2010, but Mr. Katz believes that he did not receive it.
- Paying the bill with personal funds (as he was advised by Commission staff) had resulted in spending more than he was permitted as an MCEA candidate.
- The event was an innocent mistake on the part of the candidate, but it should never have happened and he was entirely responsible for it.

At your January 27, 2010 meeting, you found that the Katz campaign spent more than was permitted under the MCEA, and assessed a civil penalty of \$50. When public comment was invited at the meeting, Mr. Greenier argued for a higher penalty.

Submissions by Joseph and Michele Greenier

Since the meeting, Mr. Greenier has conducted his own private investigation because he was convinced that Roger Katz did not present the full facts. On February 10, 2010, the Greeniers requested an investigation through the attached handwritten letter. They have made a total of five submissions to the Commission, which we received on February 10, February 14, February 17, March 10, and March 11. Most of the submissions have been by facsimile. They are attached for your consideration. In addition, I have attached two letters I wrote to the Greeniers on February 11 and March 2, urging the Greeniers to specify, in writing, the violations which they believe occurred and to make a final submission of materials no later than March 10 so that I could schedule this matter for your March 31 meeting.

Information Received by Commission Staff in Interviews

Under the Commission Rules, when a request for investigation is received by the Commission, the staff may engage in preliminary fact-gathering to assist the Commission in deciding whether to conduct an investigation. (Chapter 1, Section 5(1)) I conducted four telephone interviews:

- On Friday, February 18, I spoke with Roger Katz
- On Tuesday, February 22, I spoke with Buddy Doyle, the volunteer and friend of the candidate who purchased the signs from MSP, and
- Directly after, I spoke with Tim McLeod, the proprietor of MSP, and his wife, Kathy, whom I believe performs the bookkeeping for the shop.

All four witnesses were cooperative and I found their responses to be credible and consistent with each other. I also had a follow-up conversation with Roger Katz on Thursday, March 17 about the scheduling of this matter. I have summarized the key points below.

In his interview, Roger Katz told me the following: his friend Buddy Doyle volunteered for the campaign in various capacities, including by designing campaign literature and signs. Mr. Doyle then made a few purchases for the campaign, including all signs and some other printed materials. He always passed the invoices on to the campaign to pay. There was never any intention by the campaign that Mr. Doyle would pay for any expenses himself. MSP is active in printing campaign signs, and Mr. Doyle's relationship with the company was purely professional. My overall impression at the conclusion of the interview was that Sen. Katz had entrusted Mr. Doyle with selecting the print shop for the signs, and left the choice of vendors to Mr. Doyle.

In his interview, Buddy Doyle told me that before 2010, he had volunteered for three campaigns in Gardiner and Augusta: Brian Rines, Andy MacLean, and Roger Katz's municipal campaign. In those three campaigns, he designed printed materials for the candidates as a volunteer and purchased the materials from MSP.

When he purchased signs for Roger Katz's 2010 campaign, Mr. Doyle said that he dealt with MSP's owner, Tim McLeod. Mr. Doyle said that MSP is known for doing political signs and that Mr. McLeod "is pleasant to work with." He described himself as "not a big customer." In recent years, he has made three purchases for political campaigns, and a couple of purchases from MSP for a business of his, Kayak Concepts. He said that he has a cordial relationship with Tim McLeod, but "does not know him that well."

Mr. Doyle explained that he had made a purchase of signs for the campaign from MSP, but MSP did not send a bill to the campaign. He said that he “always intended” that invoices would go directly to Roger Katz’s home. He described how Roger Katz watched his campaign’s cash balance “very carefully,” and that the candidate was “so concerned about doing everything right.”

When I asked Buddy Doyle about the price of the signs, he replied that he expected from past experience that MSP would charge a standard price that would be competitive. He explained that he was looking for “nice-looking signs” and “good service,” but he was not out for the cheapest price.

When I asked Mr. Doyle about how the price was determined, Mr. Doyle said that Tim McLeod offered a rate for the signs, and he accepted the rate. They did not negotiate the price. When I asked whether he had received a discount, he said that he believed he paid “the standard price” and that he knew of no reason why he would have received a discount, unless he received a better price for buying a larger quantity. He later said more definitively that he “didn’t receive a discount.” When I asked whether he received MSP’s wholesale price, he said no. He said he “paid the same price as other customers.”

During the interview, I found Mr. Doyle’s responses about not receiving a discount or a wholesale rate to be genuine (even though he was mistaken about receiving the wholesale price). I sensed no calculation or protectiveness in his responses, and I doubt he understood that my questions were directed at whether the campaign had received an in-kind contribution.

I pointed out to Mr. Doyle that the September 23 invoice indicated that the campaign had not been charged sales tax. Mr. Doyle said that he did not know why MSP did not charge sales tax. He said he and Tim McLeod did not talk about sales tax. He knew that MSP does work for lots of campaigns. He speculated that there may be no sales tax on campaign purchases.

Mr. Doyle said that he knew all purchases he made on behalf of the campaign had to be made with campaign funds. He said that he had no intention that anyone other than the campaign would pay for signs or any other goods.

I then telephoned MSP. I spoke initially to Kathy McLeod, because her husband was busy. She explained that her husband had charged the wholesale rate for the particular products purchased, and that involved not charging sales tax. After concluding with Kathy, I asked to speak to Tim McLeod, because Buddy Doyle made the purchase directly from Mr. McLeod.

Both McLeods told me that most of the political signs sold by MSP are priced at a wholesale rate. Mr. McLeod estimated to me that MSP sells 60% - 75% of political signs at the wholesale rate. The purchasers include print shops, marketing or advertising firms, and graphic designers. (Mrs. McLeod independently provided me with a similar percentage.) If I understood him correctly, Mr. McLeod said that MSP is the only printing company in the Bangor area that does silk screen printing in-house.

For example, if a customer comes to a retail store such as the Bangor Letter Shop or White Sign in Stillwater, those shops will have MSP print the signs and will pay MSP the wholesale rate. Or, if a graphic designer or advertising firm is working for a client that wishes to buy signs, MSP will sell the signs to the graphic designer or advertising firm at a wholesale rate. Mr. McLeod presumes that the designer or advertising firm may charge the client a small mark-up, but he typically does not have any reason to ask how much.

Tim McLeod said that in the past five or six years, Buddy Doyle had designed signs for a few political campaigns and that Doyle had bought the signs from MSP. So, when Mr. Doyle approached him last year, Mr. McLeod thought of Buddy Doyle as a graphic designer. He gave Mr. Doyle the wholesale rate, which he had done for Mr. Doyle's previous purchases of political signs. He said that he cannot remember any instance in which he did not give a graphic designer the wholesale price.

I asked Mr. McLeod twice whether, in his conversations with Mr. Doyle, did they discuss that Mr. Doyle was receiving the wholesale rate. Mr. McLeod seemed sure that he and Buddy Doyle did not discuss that the sale was at the wholesale rate. He said that it may have been discussed in Doyle's first purchase five or six years ago.

Mr. McLeod said that it "seemed like a normal purchase." Kathy McLeod also told me that the sale was "very typical" and "a normal purchase." She said she knew of "nothing out of the ordinary" concerning the purchase.

Before I terminated the conversation with Kathy McLeod, I asked her what the unit price for the signs would have been, had the campaign been charged the retail price. My quick calculation during the course of the interview was that the campaign would have paid \$250 more for the signs and the metal frames, had the campaign been charged retail price. That was a rough estimate that I performed in my head while asking questions. Further research would be needed if you believe the exact amount is relevant.

The Greeniers' Allegations

Failure to Disclose

The Greeniers seem to believe that Buddy Doyle or Roger Katz had some intention that Buddy Doyle would pay for the signs personally or through some source of funds other than the campaign. As far as I can tell, this is no merit to this allegation.

Around November 8 or 9, Roger Katz telephoned the Commission staff to explain that his campaign owed a debt to MSP, and that the campaign only had around \$100 in Maine Clean Election Act funds remaining. If the campaign had any intention of concealing the expenditure or of paying it with Buddy Doyle's personal funds, it is difficult to see why Sen. Katz called our office. The Greeniers' theory seems to be directly contradicted by the candidate's actions. In addition, Buddy Doyle said to me credibly that he always

understood that the campaign had to pay for all expenses, and that he always intended for the MSP invoice to be sent to the candidate's home address.

In-Kind Contribution

The campaign finance law defines the term "contribution" as:

A gift, subscription, loan, advance or deposit of money or anything of value made for the purpose of influencing the nomination or election of any person to state, county or municipal office

21-A M.R.S.A. § 1012(2)(A)(1) (emphasis added) The Commission's regulations contain a similar definition of the term "in-kind contribution," as well as a rule clarifying that a campaign's receipt of goods and services at a discount constitutes an in-kind contribution:

In-Kind Contribution. "In-kind contribution" means any gift, subscription, loan, advance or deposit of anything of value other than money made for the purpose of influencing the nomination or election of any person to political office or for the initiation, support or defeat of a ballot question.

Unless specifically exempted under Title 21-A M.R.S.A. §§ 1012 and 1052 or this section, the provision of any goods or services without charge or at a charge that is less than the usual and customary charge for such goods or services is an in-kind contribution. Examples of such goods and services include, but are not limited to: equipment, facilities, supplies, personnel, advertising, and campaign literature. If goods or services are provided at less than the usual and customary charge, the amount of the in-kind contribution is the difference between the usual and customary charge and the amount charged the candidate or political committee.

Chapter 1, §§ 1(12) and 6(4).

For your information, the Commission staff has proposed some amendments to the discount rule to clarify that if a vendor gives a discount to a candidate because the vendor has delivered a defective product or for some other customary business reason, the vendor has not made an in-kind contribution to the candidate.

The Commission staff does not believe that the Katz campaign has received an in-kind contribution from MSP, for the following reasons:

- One of the elements of the statutory and regulatory definitions of “contribution” is that the donor has provided money or a thing of value to the candidate “for the purpose of influencing” an election. In this instance, Mr. McLeod had no purpose to promote Roger Katz’s campaign. Rather, he charged the wholesale rate based on his normal business practices. He viewed Buddy Doyle as a graphic designer, and he charged the rate that is standard for graphic designers.
- The rate that Tim McLeod offered to Buddy Doyle is the rate most commonly charged by MSP for political signs. Mr. McLeod estimated that MSP charges a wholesale rate 60% - 75% when selling political signs.
- I am convinced that Buddy Doyle had no knowledge that he received the wholesale rate. He seemed earnestly surprised when I asked the question. He wanted a competitive price, but had no intention of seeking a discount. Tim McLeod corroborated that the issue of a wholesale rate did not come up in his 2010 conversation with Buddy Doyle. Roger Katz was remote from the sale and was completely unaware that the campaign had paid a wholesale rate. It seems inappropriate to find that the campaign received an in-kind contribution, when the campaign had no knowledge that it had paid a lower rate.

My overall impression was that Mr. McLeod did not ask a lot of questions of Buddy Doyle concerning who was the actual purchaser of the signs. One may fault Mr. McLeod for not charging sales tax, because he failed to understand that Doyle was purchasing the signs as an agent of the campaign. Nevertheless, I view that as a good-faith mistake by Tim McLeod that should not be attributed to Buddy Doyle or Roger Katz.

Staff Recommendation

For the reasons explained above, the Commission staff recommends taking no further action on this matter. The Greeniers have presented no evidence that the Katz campaign intended to conceal this expenditure or intended that Buddy Doyle would pay for the signs

from his personal funds. Those allegations amount to speculation, and are directly contradicted by the fact that Roger Katz came forward, on his own accord, to notify the Commission that the campaign owed a debt to Modern Screen Print.

The staff believes that the campaign did not receive an in-kind contribution because there was no purpose by Modern Screen Print to promote Sen. Katz's election. The company charged the price that it believed was appropriate. Given that Mr. Doyle was acting as an agent for a campaign, Mr. McLeod's classification of the sale as a wholesale transaction may not have been consistent with state tax policies, but that is beyond the jurisdiction of the Ethics Commission.

In the letter received on March 10, the Greeniers object to your consideration of this matter at your March 31 meeting. The Greeniers first wrote to me concerning this issue on February 10, 2011. They have undertaken a considerable private investigation, and made five written submissions to the Commission. Your March 31 meeting is scheduled on the 49th day after the Greeniers' first letter. They have had ample time (seven weeks) to articulate and support their concerns. The staff recommends finally resolving this matter at your March 31 meeting.

The Commission has occasionally experienced complainants who attempt to bring matters back to the Commission that have already been decided, by asking for reconsideration or through other requests. The Commission has no rule or established policy concerning reconsideration. If you agree that the Commission has given this matter adequate consideration, you may wish to provide me with direction concerning whether you are open to reconsideration of this matter at future meetings.

Other Allegations by the Greeniers concerning the Commission

The Greeniers have requested documents concerning this matter and Roger Katz's overspending under the Freedom of Access Act. The Commission staff has provided all requested records, and has not withheld any documents.

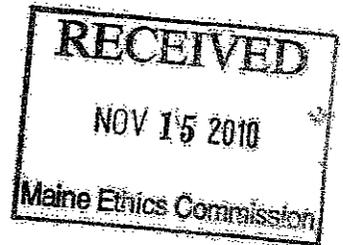
Roger Katz is the law partner of the Commission's chair, Walter F. McKee. I have not communicated with the chair concerning this matter, other than by providing the publicly accessible packets of materials for the Commission meetings.

In their March 10 letter, the Greeniers state that I have threatened them in my letters. My letters are attached. All oral and written communications with the Greeniers have been professional. I have tried to facilitate a complaint process that complies with the Commission's regulations by requiring a specific and factually-based complaint, that is procedurally fair to the respondent (Roger Katz), and that can be concluded in a timely way – within seven weeks of receiving the Greeniers' first letter.

Thank you for your consideration of this memorandum.



Katz for Senate Committee
3 Westview St. Augusta, ME 04330
www.katzsenate.com



November 11, 2010

Jonathan Wayne, Executive Director
Commission on Governmental Ethics
& Election Practices
135 State House Station
Augusta, ME 04333-0135

Dear Mr. Wayne:

Following my conversations earlier this week with Gavin O'Brien, I am writing to you to explain an error which I made with respect to my campaign finances.

Early in my campaign, back in June, I purchased campaign lawn signs from Modern Screen Print of Bangor.

In early September, I decided to purchase additional lawn signs from the same vendor. The order was placed orally to Modern Screen Print by one of my volunteers. I assumed that I would shortly be receiving a bill from the vendor, which I intended to immediately pay. Unfortunately, no bill arrived, and I failed to notice its absence.

In mid-October, I took a look at the balance in my campaign account and made decisions on spending my remaining available funds. Having received no invoice from Modern Screen Print, it did not register with me that a debt was still "out there" and proceeded to spend most of my remaining campaign funds.

Last Friday, November 5, I got a call from my volunteer indicating that a representative of Modern Screen Print was calling and inquiring about the bill for the second set of signs. I was taken aback, assuming that I had received the bill and paid it back in September. However, a check of my records indicated that that simply had not happened. On Monday, November 8, 2010, I received a copy of what I believe was the original bill from Modern Screen Print, a copy of which is attached hereto as "Exhibit A". A representative of the vendor has told me that their records indicate this invoice had been mailed to me back in September to the same address. Again, I do not believe that the bill was actually received.

November 11, 2010
Jonathan Wayne, Executive Director
Page 2

Having now received the Modern Screen Print bill, this places me approximately \$1,000 over my spending limit.

I respectfully tell you that this was an innocent mistake on my behalf, having said that, it was a mistake which should not have happened and the error is entirely my own personal responsibility. I deeply regret that events transpired in this manner and that the "second" purchase of signs went unaccounted for in my own mind until Modern Screen Print made inquiries following the election.

On direction of Mr. O'Brien, I will be paying the Modern Screen Print bill as follows:

- A portion representing the remaining campaign funds I have, and
- The balance to be paid by me personally.

I would be happy to provide any information or answer any additional questions you might have.

Sincerely,



Roger J. Katz

rkatz@lipmankatzmckee.com

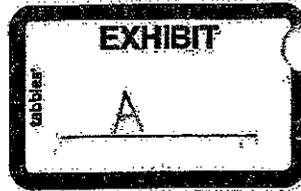
RJK/cam
Enclosure

PS: If this matter is to be scheduled before the Commission, I respectfully request that it be scheduled on the December agenda, as I have a mandatory all day Orientation Session for new legislators on November 30, 2010. Thank you.



MODERN SCREENPRINT

69 Hillside Ave., Bangor, Me. 04401 * 945-6284



Invoice

DATE	INVOICE NO.
9/23/2010	69627

SOLD TO
2010 Katz for Senate 3 Westview St. Augusta, ME 04330 Bill Browne, Treasurer

SHIP TO

CUSTOMER PO. NO.	TERMS	SHIP VIA	JOB NUMBER
	Due on receipt	Pick-up	33413

QTY	DESCRIPTION	UNIT PRICE	AMOUNT
500	28" x 22" FOLDOVER SIGNS SCORED TO 14" x 22" 2	1.69	845.00
500	COLOR IMPRINT		
	METAL SIGN FRAMES	0.80	400.00
Subtotal			\$1,245.00
Sales Tax is charged until a valid Maine Resale Certificate is received.			Sales Tax (0.00) \$0.00
			Pmts. \$0.00

Fax Number	E-mail	Web Site	TOTAL	\$1,245.00
207-945-6328	modernscreen@prodigy.net	modernscreenprint.com		

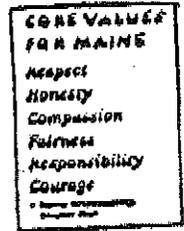
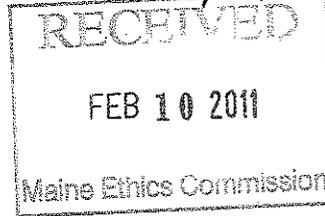
All Orders Subject To A 10% Overrun or Underrun - Industry Allowance.
 A 1.5% Service Charge Per Month Will Be Added On All Balances Remaining After 30 Days (18% A.P.R.)

Received By _____

By fax: 1-207-287-6775

104 Muskrat Rd.
Stockton Springs ME 04981
February 10, 2011.

State of Maine
Commission on Governmental Ethics
and Election Practices
135 State House Station
Augusta, ME 04833-0135



Dear Mr. Franklin Jonathan Wayne, Executive Director, and Gavin O'Brien,
This letter is to confirm that I informed Paul Lavin on February 4th and Gavin O'Brien on February 10th that we are filing a complaint with The Ethics Commission, regarding candidate Roger J. Katz and his campaign expenditures. From a preliminary investigation and asking some questions to Kathy at Modern Screenprint, she referred me to Buddy Doyle, who designed and ordered the signs from Modern Screenprint. If this commission asked questions of all those involved in the Katz's campaign, not just the candidate, this commission would have found far more serious violations of the Maine Clean Elections Act.

As Concerned Citizens, a candidate who ran for State Senate and for the people of Maine, we are filing a complaint with The Ethics Commission, in regards to the campaign of candidate Roger J. Katz, who qualified for Maine Clean Election Funds. It gives us no pleasure in filing this complaint. The taxpayers of Maine overwhelming support and finance clean elections. It's the taxpayer's money and it's the commissions job to make sure all candidates are in full compliance. When the commission finds violations of Clean Elections Act, they must penalize candidates fairly and honestly. The candidate and treasurer are jointly responsible for accurate campaign reporting, which we allege hasn't happened in this case. In this campaign we respectfully object to the \$50.00 penalty, as it doesn't reflect the severity of the violations, especially those we found out thus far. We are respectfully requesting an investigation and audit of candidate Roger J. Katz's campaign, including campaign finance reports under the Freedom of Information Act (FOIA) to insure accurate reporting of expenditures under the Maine Clean Election Act, transparency in government and to insure the public trust of public funds.

We are here to get to the truth. What we have found out is that the whole truth has not been presented. In order to get to the truth this Commission must investigate what happened by asking questions to all those involved including but not limited to the treasurer, campaign manager, all volunteers, all vendors and Buddy Doyle, who designed, ordered and picked up the signs at Modern Screenprint. This must be investigated by the Commission, because it's their job to clear up the inconsistencies, regarding what he found out from his people and his vendor, Buddy Doyle. In candidate Katz's November 11, 2010 letter to Mr. Wayne he closed and says "I would be happy to provide any information or answer any additional questions you might have." It's time to put all those involved under oath in a public hearing, so the real truth will be exposed, so we can truly have "Clean Elections".

Concerned Citizens,
Joseph Greenier
Michelle Greenier



STATE OF MAINE
COMMISSION ON GOVERNMENTAL ETHICS
AND ELECTION PRACTICES
135 STATE HOUSE STATION
AUGUSTA, MAINE
04333-0135

RECEIVED
FEB 14 2011
Maine Ethics Commission

February 11, 2011

CORE VALUES
FOR MAINE
Respect
Honesty
Compassion
Fairness
Responsibility
Courage
- Being Accountable
- Keeping Promises

RETURN TO SENDER:
NOT FACTUAL 2/14/11
We respectfully object to the contents of this letter. Please do a Findings of the Facts through candidate Katz, Buddy Doyle and Modern Screenprint, in reference to Exhibit A.
Concerned Citizens,
Joseph Greenier
Michelle Greenier

Joseph and Michelle Greenier
104 Muskrat Farm Road
Stockton Springs, ME 04981

Dear Mr. and Mrs. Greenier:

This is in response to your complaint against 2010 Senate candidate Roger J. Katz, which was faxed to our office today. The Commission staff understands that you are accusing the Katz campaign of "serious violations."

The complaint is missing two important elements:

- The complaint does not provide the Commission or Senator Katz with any idea of the violation which you believed occurred.
- The complaint does not provide the Commission or Senator Katz with any idea of the source of information or factual basis for believing that a violation occurred.

It is only fair that if you are filing a complaint against a candidate, you provide him or her with some idea of what the violation is and what is your basis for believing that there was a violation. This is also required by Chapter 1, Section 4(2)(C) of the Commission's Rules (attached). In the view of the Commission staff, the complaint contains "insufficient detail to specify the violation charged." Therefore, pursuant to Chapter 1, Section 4(2)(D), I am notifying you that your complaint does not meet the requirements for an official request for an investigation.

If you believe a violation occurred, please submit an amended complaint that specifies the law or requirement which you believe was violated and the basis for your belief. Then, the Commission staff will consider and recommend to the Commissioners whether there is any basis for an investigation. Thank you.

Sincerely,

Jonathan Wayne
Jonathan Wayne
Executive Director

cc: Hon. Roger J. Katz

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

By
FAX: (207) 287-6775

RECEIVED

FEB 17 2011

104 Muskrat Rd
Stockton Springs, ME 04981
February 16, 2011.

CORE VALUES
FOR MAINE

Respect
Honesty
Compassion
Fairness
Responsibility
Courage

To: Ethics Commission

Maine Ethics Commission

As Concerned Citizens, we have more information regarding candidate Katz and his campaign, for the investigation and the audit. The source of our information is from Agenda Item #9, Exhibit A direct contact with Kathy at Modern Screenprint and a phone conversation with Buddy Doyle. We contend what we have here is a lawyer-candidate, that is telling a story. It's called hearsay. The candidate has refused to produce the name of the "campaign volunteer". It's all second or third hand information. We allege that the candidate and the Executive Director haven't checked the facts. What we have learned from Agenda Item #9, is that the lawyer-candidate is telling a story to the commission, without specific details and many general dates, regarding an anonymous campaign volunteer. As you know hearsay is not acceptable in a court of law. In essence, the candidate has told a hearsay story and the Commission has accepted it, without checking the facts and asking questions of those involved, including the treasurer, campaign manager and all of the volunteers.

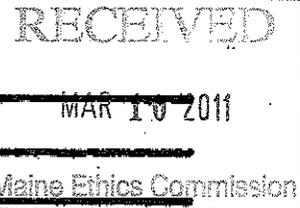
The Commission has used hearsay, so they can penalize the candidate at the lowest amount, even though this candidate has overspent more than 10x what any other candidate has overspent. Mr. Wayne only wanted the candidate to be penalized \$50.00 and call it an oversight. The Commission used the Anne Graham case, to say that case got a \$50.00 penalty, so this will get the same penalty - \$50.00. One of the inconsistencies of the Anne Graham case is that the staff recommended a penalty of \$125.00, for overspending of \$253.00. On that grounds, then this penalty should be about \$542.00.

In this investigation, the only evidence was an Invoice from Modern Screenprint, that the candidate claims he didn't get. We contend the campaign got the invoice from the person who picked up the signs. By checking on Exhibit A, we found inconsistencies. That's what took me directly from Modern Screenprint in Bangor, ME to Gardiner, ME and to the Ethics Commission on February 4th, so I could report my findings to Paul Lavin at the Ethics Commission. All we wanted to do was to check the facts.

The reason this case must be investigated is to get to the truth and the facts. By not disclosing the volunteers name, dates, etc. tells us that this is a deliberate act, not an unintentional accident. The candidate used the public's money by requesting Clean Election funds, so the public has a right to know the facts in this investigation, so the penalty is appropriate for the amount of overspending - a potentially serious violation. If the Commission paid me 44 per mile, I would be paid \$88.00, which is more than the penalty. It's time to tell the truth and keep the public informed, especially since it's the public's money. It's time to shed light on the Ethics Commission, for transparency in government. We have more information, that will be forthcoming, we want this Commission to check the facts, what we found out. We want you to do your job.

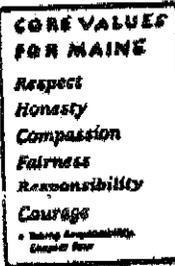
Concerned Citizens, Joseph Greenier
Michele Greenier

FACSIMILE TRANSMITTAL COVER SHEET



DATE: March 9, 2011
TO: Mr. Franklin Jonathan Wayne
FAX: 1-207-287-6775
FROM: Joseph & Michele Greenier
8 PAGE(S) + COVER SHEET
RE: For your investigation of candidate Katz
OUR FILE #:

COMMENTS:



Enclosed with our two page letter is the following enclosures

- 1 February 17, 2011 Agenda - AMENDED
2 November 18, 2010 Letter TO: All Legislators
3 The Peace Rosary/Chaplet - explanation
4 Bangor Daily News article, dated March 3, 2011
5 Ch.7 Prohibition on Accepting Contributions p.51
6 Ch.7 Prohibition on Accepting Contributions p.52

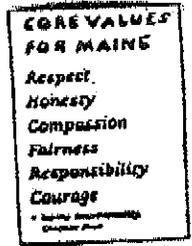
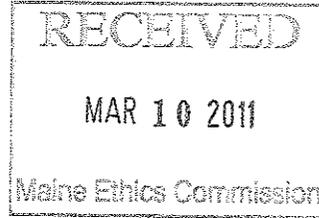
THIS COMMUNICATION IS CONFIDENTIAL AND INTENDED TO BE PRIVILEGED PURSUANT TO APPLICABLE LAW. THIS MESSAGE IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHICH IT IS ADDRESSED AND MAY CONTAIN INFORMATION THAT IS PRIVILEGED, CONFIDENTIAL, AND EXEMPT FROM DISCLOSURE UNDER APPLICABLE LAW. IF THE READER OF THIS MESSAGE IS NOT THE INTENDED RECIPIENT OR THE EMPLOYEE OR AGENT RESPONSIBLE FOR DELIVERING THE MESSAGE TO THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT ANY DISSEMINATION, DISTRIBUTION, OR COPYING OF THIS COMMUNICATION IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS MESSAGE IN ERROR, PLEASE NOTIFY US IMMEDIATELY BY TELEPHONE AND RETURN THE ORIGINAL MESSAGE TO US AT THE ABOVE ADDRESS VIA THE U.S. POSTAL SERVICE. THANK YOU.

If you do not receive this complete transmission, please call



STATE OF MAINE
COMMISSION ON GOVERNMENTAL ETHICS
AND ELECTION PRACTICES
US STATE HOUSE STATION
AUGUSTA, MAINE
04330-0135

March 2, 2011



By Fax and Reader Mail

Joseph and Michelle Greenier
104 Muskrat Farm Road
Stockton Springs, ME 04981

Dear Mr. and Mrs. Greenier:

The Commission staff has gathered preliminary factual information concerning the allegations in your February 10, 14, and 17 letters about a purchase by the 2010 Katz campaign from Modern Screen Prints.

This matter will be placed on the next meeting of the Commission, which will be Thursday, March 31 at 9:00 a.m. The meeting will be held at the Commission's office at 45 Memorial Circle.

Your letter of last night concerning your Freedom of Access Act request suggests that you are continuing to gather information which you believe is relevant. IF YOU HAVE ANY ADDITIONAL INFORMATION THAT YOU WISH THE COMMISSION TO CONSIDER, I NEED TO RECEIVE IT NO LATER THAN THURSDAY, MARCH 18, 2011. Otherwise, it will not be considered by the Commissioners at their March 31 meeting.

Sincerely,

Jonathan Wayne
Jonathan Wayne
Executive Director

4/

cc: Hon. Roger J. Katz

CONFIDENTIAL

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-4775

Byfax 1-207-287-6775

March 9, 2011.

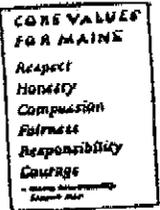
Dear Mr. Franklin Jonathan Wayne,

For your investigation, please include my oral conversations with Paul Lavin on February 4th and phone conversation with Gavin O'Brien on February 10th. The information we have gathered for the Ethics Commission rebuts what the candidate has to say, to this commission. Also, please include my conversation with you at the legislature in Legal & Veterans Affairs committee room, on February 23rd. I informed you that we asked more questions than you did, regarding this investigation and you denied it.

We object to the contents of letter above. We question that the Commission will not have enough time on March 31st, due to the fact that Chair McKee claimed, they are so tight on time and that the Agenda was already filled. Also, we object to the March 10th deadline, that you demand or not be considered on March 31st meeting. We contend this is a direct retaliation. We are now informing you we will not go by that date. We will go by what is normally done, about a week or so, so you can send it onto the commissioners. From what you have threatened us in your letters, we are invoking our rights for protection under the Whistleblowers Act. Your procedure in this matter is far different than any other meeting deadlines. We put in information and you made it public, which violates our confidentiality. Are you aware that you are promoting invidious discrimination by targeting us, because of direct conflicts of interests in this case? As you know, there are lots of direct conflicts of interests in this case, dealing with the law firm of Lipman, Katz and McKee, especially since you are corresponding to the law firm. The legislative address is the same as the home address, not the law firm. Also, we contend your March 10th deadline is discriminatory, because other people are allowed to submit material two days before commission meeting and day of meeting, as evidenced in Agenda for February 17, 2011 meeting. Enclosed please find copy for your review.

①

For the public, the Ethics Commission has a job to do and to disclose this information, in this case, as the people have a right to know. Mr. Wayne, have you asked questions and obtained the basic information regarding Invoices from Modern Screenprint from candidate Roger J. Katz?



Please obtain the following for the record, if you haven't already done so:

- ① A copy of Invoice from the 1st batch of 300 signs and wires and copy of the check, which is usually in the record, in other cases. We want to make sure it's done here.
- ② All of the dates that signs were ordered, dates signs were picked up with both invoices and dates signs were paid for.
- ③ A copy of both checks for signs paid with Clean Elections money and personal funds, from 2nd batch of signs.
- ④ Sales taxes were not paid on both invoices from Modern Screenprint
- ⑤ The signs were wholesale, which is a huge discount.
- ⑥ Copy of check, for penalty.
- ⑦ The names of all of the volunteers, involved in this campaign
- ⑧ What was the involvement of the Treasurer and Campaign Manager, in the campaign?
- ⑨ Under Schedule D, please check regarding three separate reporting periods, that signs were not reported, which we question, isn't that a violation? Shouldn't the reports be corrected?

CONFIDENTIAL

If you haven't investigated this basic information, then please do so. If you don't have copies of all of the checks, then you haven't finished the primary part of the investigation, which is your job to do so.

In regards to an FOIA request, with no cover letter from you, we contend that 100% of the entire file was not provided, as you know. We requested questions and answers from the investigation in which the questions are missing from the notes. We requested notes which would include candidate Katz with Commission staff, plus oral conversations with Paul Lavin, Gavin O'Brien directly, with Mr. Greenier and you, Mr. Wayne. We contend there were a lot more emails than provided. Please consider this our second request for FOIA, including those items, missing from first request and any updates. All of the information in this letter must be included in the record. The Commission must provide proof through invoices, copies of checks, corrected reports, not hearsay. Please keep us informed of your findings, in this case. One of our past legislators testified that when you make a mistake: ① Tell the truth ② Correct the mistake ③ promise never to do it again. The people of Maine deserve 100% of the truth of what happened in this campaign, so it never happens again. We request you contact the opponent in this case Patsy Crockett, as she has a right to know what happened. We pray that you will convince candidate Katz and Buddy Doyle to tell the truth. This session we gave every Legislator a Peace Rosary and letter explaining it, to make things go right, for the people of Maine. We are following our religious convictions. In this campaign, we contend that candidate Katz blamed a good company for their own wrongdoing, by not reporting expenditure on campaign reports. Every Vendor must provide an invoice with every order, which was provided, according to Kathy at Modern Screenprint. We heard nothing but good things about this reputable company. They deserved to be paid the day the signs were picked up.

Joseph Greenier, Michele Greenier

②

*Enclosures:

① February 17, 2011 Agenda - AMENDED

② November 18, 2010 letter to: All Legislators

③ The Peace Rosary/Chapel - explanation

④ Roger Doyle News article, dated March 3, 2011

⑤ Ch 7 prohibition on accepting contributions p. 51

⑥ Ch 7 prohibition on accepting contributions p. 52



MAINE COMMISSIONER Governmental Ethics & Election Practices

FINANCIAL DISCLOSURE

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INFORMATION AND RESOURCES

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[For PACs](#)

[For Ballot Question Committees](#)

[For Lobbyists](#)

[For Legislators](#)

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Home > Meetings > February 17, 2011

February 17, 2011 Commission Meeting

Click the title of an agenda item below to view a pdf file of the meeting materials relating to that item.

Agenda - AMENDED

Meeting of February 17, 2011, at 9:00 a.m.

Commission Office, 45 Memorial Circle, 2nd Floor, Augusta, Maine

1. Ratification of minutes of the October 28 and December 20, 2010 Meetings

Late Filing of Independent Expenditure Reports/Republican State Leadership

2. Committee

** Additional materials(added on 2/15/2011)

** Additional materials (added on 2/17/2011)

The Commission will consider civil penalties arising out of the filing of independent expenditure report #142 by the Republican State Leadership Committee. The report included a total of \$398,970 in expenditures made for three types of communications (mailings, television and radio advertisements) directed at voters in five State Senate districts in Maine. On October 27, 2010, the Maine Democratic Party filed a complaint alleging that the report was late. The staff notified the committee of possible penalties totaling \$41,000 and invited the Committee to respond, including by requesting a waiver of the penalties. The waiver request and response by the committee will be submitted in the last week before the February 17 meeting.

3. Ballot Question Committee Reporting/Request by Thomas Valteau

On January 3, 2011, Thomas Valteau requested that the Ethics Commission investigate whether the Portland Press Herald newspaper was required in late 2010 to register and file campaign finance reports as a ballot question committee with the Portland City Clerk. During the week leading up to the November 2, 2010 election, the Press Herald allowed the Portland Regional Chamber of Commerce to run a number of full-page advertisements in support of a Portland referendum on mayoral election. The Press Herald responds that it is exempt from Maine's campaign finance disclosure laws and its purpose in providing the ad space was not to influence the election.

** Additional materials (added on 2/17/2011)

4. Letter to Joint Standing Committee on Veterans and Legal Affairs

The Commissioners will consider a draft letter by the Commission staff concerning the issue of leadership political action committees.

5. Report from Commission Auditor

The Commission's auditor completed the audit of Pamela Trinward's 2010 House campaign, which she terminated after deciding to replace a withdrawing candidate for the State Senate. No exceptions (violations) were found.

6. Adjustment to \$350 and \$750 Contribution Limits

In a 2009 law, the Maine Legislature required the Commission to adjust the \$350 and \$750 contribution limits every two years based on the rate of inflation. The Commission's auditor has determined that no adjustment to the contribution limits should be made at this time, based on the low rate of inflation. So, the current limits of \$350 and \$750 will continue to be in effect for elections in 2011 and 2012. The Commission will next consider whether any adjustment is necessary in December 2012.

Other Business

3

104 Muskrat Rd.
Stockton Springs, ME 04981
November 18, 2010.

To: All Legislators

We put in petitions and prayed for all of the Legislators for the 125th session. WE went to Medugorje in September 2010, on a pilgrimage. During the visit, we were give a Peace Rosary and asked to promote the Peace Rosary and give one to someone else. It came to us, to give a Peace Rosary to each Legislator, to start the session for the first day, on a positive note, by promoting peace. It is now more understandable why it came to us in September, to promote the Peace Rosary.

As Legislators, it's your job to look after the people. This session there needs to be a lot of positive changes. The things that are wrong - we need to make it right, for the people of Maine, We need to work together, now more than ever before.

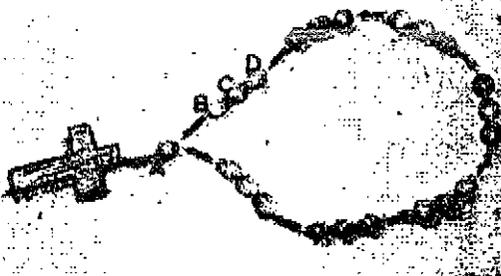
Enclosed is a small Peace Rosary, that were blessed in Medugorje in Bosnia-Herzegovina. Please find instructions how to pray on the left. There are more instructions, if needed, on the reverse side, if you choose to use them. This Peace Rosary is for Legislators, to use as you will, to assist to make decisions and a bridge for peace.

Peace Rosary

In 1981 when Our Blessed Mother appeared at Medjugorje, she asked the children to pray for peace. She asked that they recite the rosary everyday.

"The Little Rosary of Medjugorje" is to be said this way:

Make the sign of the Cross and say the Apostles Creed on the first bead. Then on each set of three beads say one "Our Father", one "Hail Mary" and one "Glory Be. End by saying three times "Our Lady of Peace, Pray for us."



CORE VALUES FOR MAINE

- Respect
- Honesty
- Compassion
- Fairness
- Responsibility
- Courage

Concerned Citizens and Pilgrims of Medugorje.

Joseph H. Greenier

Joseph H. Greenier

Michele Greenier

Michele Greenier

Mary Elizabeth Greenier

Mary Elizabeth Greenier

Distributed at the request of Sen. Michael Thibodeau for December 1, 2010.

Distributed at the request of Rep. James Gillway for December 1, 2010.

The Peace Rosary/Chaplet

The peace rosary has been a long tradition in Croatia and has been prayed by families for generations. It is said by praying the Creed and then one Our Father, Hail Mary, and Glory Be seven times. When Our Lady first appeared at Medjugorje in 1981, she told the visionaries that she would like them to continue praying this prayer. Our Lady has called for us to pray for peace in the world, in our families and in our hearts. It is still prayed at the end of Mass each evening in Medjugorje.

- Begin in the name of the Father, and of the Son, and of the Holy Spirit.
- Pray the Apostles Creed.
- Pray the Our Father, Hail Mary and Glory Be on each group of 3 beads (7 times).
- Conclude with the sign of the cross, the sign of our salvation.

Prayers

The Apostles Creed

I believe in God, the Father almighty, Creator of heaven and earth, and in Jesus Christ, His only Son, our Lord. He was conceived by the Holy Spirit, and born of the Virgin Mary. He suffered under Pontius Pilate, was crucified, died and was buried. He descended to the dead. On the third day He rose again. He ascended into heaven, and is seated at the right hand of God the Father Almighty. He will come again to judge the living and the dead. I believe in the Holy Spirit, the Holy Catholic Church, the communion of saints, the forgiveness of sins, the resurrection of the body, and life everlasting. Amen.

The Our Father

Our Father, Who art in heaven, Hallowed be Thy Name. Thy Kingdom come, Thy Will be done, On earth as it is in Heaven. Give us this day, our daily bread, and forgive us our trespasses as we forgive those who trespass against us. And lead us not into temptation, but deliver us from evil. Amen.

The Hail Mary

Hail Mary, Full of Grace, The Lord is with thee. Blessed art thou among women, and blessed is the fruit of thy womb, Jesus. Holy Mary, Mother of God, pray for us sinners now, and at the hour of death. Amen.

The Glory Be

Glory be to the Father, and to the Son, and to the Holy Spirit. As it was in the beginning, is now, and ever shall be, world without end. Amen.

... PRAYER FOR PEACE ...

Almighty and eternal God. May your grace enkindle in all of us a love for the many unfortunate people whom poverty and misery reduce to a condition of life unworthy of human beings. Arouse in the hearts of those who call you Father a hunger and thirst for social justice and for fraternal charity in deeds and in truth. Grant, O Lord, peace in our days, peace to souls, peace to families, peace to our country, and peace among nations. Amen. - Pope Pius XII

returned Thursday, March 3, 2011. Bangor Daily News
March 10, 2011

Donor

Continued from Page B1

that might want to get involved in a ballot campaign," Needley said. Jonathan Wayne, executive director of the ethics commission, said he was pleased that the state's disclosure laws pertaining to ballot committees stood up to scrutiny "it lets the public know who's influencing them when they vote on ballot questions," he said.

Already pending before the Boston appeals court is a separate appeal brought by NOM of election law governing political

action committees, independent campaign contributions and other attribution and disclaimer elements required by Maine's election laws.

In that case, Hornby upheld most of Maine's reporting regulations applying to political action committees. But he agreed with NOM that a state regulation requiring 24-hour disclosure of any independent expenditures over \$250 is unconstitutionally burdensome.

NOM opposes same-sex marriage and has been involved in campaigns in Maine and other states. Maine voters repealed the state's same-sex marriage law in 2009.

11-15 48 or 25 of 02 14 24

6

Group appeals campaign donor ruling

National Organization for Marriage bucking at Maine's finance disclosure law

BY DAVID SHARP
THE ASSOCIATED PRESS

PORTLAND — A national group that opposes gay marriage is appealing a federal judge's decision to uphold Maine's campaign finance disclosure law that could force it to reveal its list of donors.

Lawyers for the National Organization for Marriage filed their notice of appeal with the 1st U.S. Circuit Court of Appeals in Boston,

which already is considering another constitutional challenge of Maine's campaign finance law by the Virginia-based organization. The National Organization for Marriage, or NOM, sued after the state ethics commission found that it could be required to disclose the identities of its donors.

Last month, U.S. District Judge D. Brock Hornby granted a summary judgment upholding Maine's campaign disclosure laws as they per-

tain to ballot committees.

Maine law says groups that raise or spend more than \$5,000 to influence elections must register with the state and disclose their donors. NOM donated \$1.9 million to Stand for Marriage Maine, a political action committee that helped repeal Maine's same-sex marriage law.

The Maine Commission on Governmental Ethics and Election Practices still must conduct an investigation to determine whether NOM

must turn over its donor list, the disclosure of which NOM feels would stymie free speech, said Josiah Nealey, an Indiana-based lawyer for NOM.

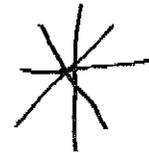
"Our view is even the investigation, or the possibility that these requirements would be enforced, creates a chilling effect on the First Amendment rights, not only of the National Organization for Marriage, but of other political groups

See Donor, Page B4



CHAPTER 7

Prohibition on Accepting Contributions



Definition of Contribution

The term "contribution" is defined in the Election Law to include: "A gift, subscription, loan, advance or deposit of money or anything of value made for the purpose of influencing the nomination or election of any person to state, county or municipal office or for the purpose of liquidating any campaign deficit of a candidate" For further explanation of what is a contribution, please refer to 21-A M.R.S.A. §1012(2) (copied in the Appendix to this Guidebook) and Chapter 1, Section 6 of the Commission's Rules.

Once certified, MCEA candidates are prohibited from accepting any contributions - cash or in-kind. It is important that candidates understand what constitutes an in-kind contribution, because accepting a contribution is a violation of the MCEA.

Paying for Goods and Services with Personal Funds

If the campaign accepts a cash contribution, it must be returned. If the contribution was inadvertently deposited into the campaign bank account, the funds must be withdrawn and returned to the contributor.

Once you have been certified as an MCEA candidate, your campaign may not accept cash contributions from any source. You are not permitted to contribute cash or to make a loan to your campaign. You or your supporters are allowed to purchase goods and services with personal funds or a credit card, provided that the campaign reimburses you or your supporter in the same reporting period in which the purchase was made.

* In-Kind Contributions

In-kind contributions are goods or services that are provided to the campaign at no cost or at a cost that is less than the usual and customary charge. The Commission recommends that MCEA candidates who

receive an in-kind contribution contact the Commission staff promptly to receive guidance on how to rectify the situation. The staff will likely advise that the campaign should reimburse the provider of the goods and services immediately with MCEA funds.

Please call the Commission at 267-4179 if you have questions about in-kind contributions.

The following activities are examples of in-kind contributions:

- the candidate purchases campaign signs and is not reimbursed by the campaign;
- a supporter of a candidate pays for some of the candidate's advertising in a community newspaper and is not reimbursed by the campaign;
- * • a friend of a candidate who owns a copy shop provides the campaign with a discount on printing services; Re: October Publishing, not Kayak Concepts *
- a volunteer who is making signs for a candidate buys plywood and paint and is not reimbursed by the campaign; and
- the owner of a local business provides the campaign, free of charge, some of his paid staff members to work for the campaign on company time.

Exempt Goods and Services

Certain goods and services are excluded from the legal definition of "contribution." The campaign's receipt of these goods and services is not an in-kind contribution. Candidates and treasurers are encouraged to familiarize themselves with these "exempt" goods and services. They are listed in the Appendix of this Guidebook. Some examples of exempt goods and services are:

- a trade association, commercial business, or labor union may donate office space or office equipment to a campaign, provided that there is no additional cost;
- an individual may volunteer his services to a campaign at no charge (including professional services such as legal advice, assistance with databases, and web and graphic design) as long as the individual is not being compensated by an employer for providing the services; and
- each volunteer may pay up to \$100 cumulatively in each election (primary or general) toward the cost of food, beverages, and invitations in the course of volunteering for a campaign (e.g., when volunteering at a house party or a campaign event, a campaign supporter may buy up to \$100 in food).



MAINE

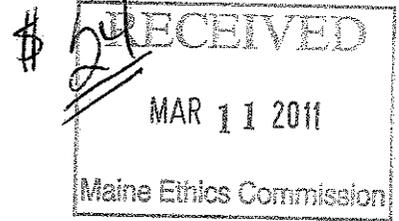
Department of the Secretary of State
Bureau of Corporations, Elections and Commissions

Hand Delivered

Corporate Name Search

List of All Filings

KAYAK CONCEPTS, LLC



Please check one of the following

- All documents
- Articles and amendments only
- Specific records

Select from the list below.

Note: If you are selecting "All Documents" or "Articles and Amendments Only" and any of the filings below have "order" next to the checkbox, you must order these copies from the Bureau. See further instructions below.

Description	Date	Image Available
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Each record \$ 3.00

Certify order \$5.00

ARTICLES OF ORGANIZATION	09/27/2007	Yes	<input type="checkbox"/>
AMENDMENT	04/11/2008	Yes	<input type="checkbox"/>
ANNUAL REPORT	05/28/2008	Yes	<input type="checkbox"/>
CHANGE OF AGENT	02/20/2009	Yes	<input type="checkbox"/>
ANNUAL REPORT	03/20/2009	Yes	<input type="checkbox"/>
NOTICE - FAILURE TO FILE AN ANNUAL REPORT	07/12/2010	No	order <input type="checkbox"/>
ANNUAL REPORT	07/15/2010	Yes	<input type="checkbox"/>
CHANGE OF AGENT	07/15/2010	Yes	<input type="checkbox"/>

Select one or more checkboxes above and click on

and/or

If the word "order" appears next to the order checkbox above, it means the image is not available to download. However, you may order these copies from the Bureau by checking the checkboxes you would like to request, then by clicking the "Order from Bureau" button above. Once you complete and submit the order form, the Bureau staff will process your request within 5 to 7 business days. The fee for copies from the Bureau is \$2.00 per page and if certified copies are requested, an additional \$5.00 for each certification.

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If you encounter technical difficulties while using these services, please contact the [Webmaster](#). If you are unable to find the information you need through the resources provided on this web site, please contact the Bureau's Reporting and Information Section at 207-624-7752 or e-mail or visit our [Feedback page](#).

© Department of the Secretary of State

LIMITED LIABILITY COMPANY

STATE OF MAINE
NONCOMMERCIAL REGISTERED AGENT
STATEMENT OF
APPOINTMENT or CHANGE

Julie R Flynn
Deputy Secretary of State
A True Copy When Attested By Signature

Deputy Secretary of State

KRYMAK CONCEPTS, LLC
(Name of Limited Liability Company)

Pursuant to 5 MRSA §§105, 108, & 109 the undersigned limited liability company executes and delivers the following statement of appointment and/or change of address by a noncommercial Registered Agent

- FIRST: ("X" all boxes that apply)
- A. change of address
 - B. change to/of noncommercial registered agent and address
 - C. change of noncommercial registered agent
 - D. change in name of current noncommercial registered agent

SECOND: The name and address of the registered agent appearing on the record in the Secretary of State's office:

C.W. SPURLING ESQ.

(name of current registered agent)

2 CHURCH ST. GARDINER, ME 04345

(physical street address, city, state and zip code)

(SAME)

(mailing address if different from above)

THIRD: (For foreign limited liability companies only)

Jurisdiction of Organization _____

Date authorized to transact business in the State of Maine. _____

FOURTH: Complete this Item as follows based on your selection in Item First

- A. The new address of the noncommercial registered agent (provide address information only),
- B. The name and address of the new noncommercial registered agent (provide name and address information),
- C. The name of the new noncommercial registered agent (provide name only). **OR**
- D. The new name of the current noncommercial registered agent (provide name only)

EDMUND F. DOYLE

(name of new noncommercial registered agent or new name of current noncommercial registered agent)

18 VINE ST. GARDINER, ME 04345

(physical street address, not a P O. Box - city, state and zip code)

(M ABOVE)

(mailing address if different from above)

FIFTH: Pursuant to 5 MRSA §108 3, the registered agent as listed above has consented to serve as the registered agent for this limited liability company

SIXTH: The undersigned noncommercial registered agent of the following limited liability company(s) has notified each limited liability company of the change indicated in Item First A or D.

Name of Limited Liability Company	Jurisdiction	Date authorized or organized in Maine
<u>KAMAK CONCEPT LLC</u>	<u>MAINE</u>	

Names of additional limited liability companies attached hereto as Exhibit and made a part hereof

Dated

JUL 15 2010

*By

Edmund F. Doyle
(signature)

EDMUND F. DOYLE (MEMBER)

(type or print name and capacity)

*This statement MUST be signed as follows

- (1) if Item First, A or D was selected, then by the noncommercial registered agent; **OR**
- (2) if Item First, B or C was selected, then by:
 - (i) at least one manager. **OR**
 - (ii) at least one member if the limited liability company is managed by the members, **OR**
 - (iii) any duly authorized person.

Please remit your payment made payable to the Maine Secretary of State

Submit completed form to:

Secretary of State
 Division of Corporations, UCC and Commissions
 101 State House Station
 Augusta, ME 04333-0101
 Telephone Inquiries (207) 624-7752

Email Inquiries: CEC_Corporations@Maine.gov

Filing Fee
\$85.00

Make check payable to
Secretary of State

Please file by
April 1, 2010

STATE OF MAINE 2010 ANNUAL REPORT

FOR LIMITED LIABILITY COMPANIES ON FILE AS OF
DECEMBER 31, 2009

Pursuant to 31 MRSA §757 2, the information on the
report must be current as of the date signed

Do not change any preprinted information on this form.

Filing by April 1, 2010 will allow
us to provide better service. The
legal filing deadline is still June
1, 2010. A \$50 late filing fee will
be assessed if the report is late

DCN Number:
2100019087114
Charter Number
20080953 DC

KAYAK CONCEPTS, LLC
C. H. SPURLING, ESQ., REGISTERED AGENT
TWO CHURCH STREET
GARDINER, ME 04345

If you have any questions regarding the completion of this annual report or if the preprinted information on this report form is incorrect, contact the **Reporting & Information Section at (207) 624-7752**. All corporate forms are available on our website at www.maine.gov/sos/cec/corp. To file your annual report online, go to www.SOSonline.org and click on the Interactive Corporate Services link. **Please see reverse side of this form for additional filing instructions --> --> -->**

1. A brief statement of the character of the business in which the limited liability company is actually engaged in the State of Maine, if none, so indicate: (31 MRSA §757 1 C)

WE (CONTRACT FOR MANUFACTURE) AND SELL KAYAK STORAGE SYSTEMS.

2. Name of all Members :

(31 MRSA §757 1 D, §651 and §681)

EDMUND F. BUDDY DOYLE
GERRI DOYLE
JERRI KYLE
CLIFFORD FLETCHER
ROGER KATZ

Street address of each (not P O Box):

(physical location (not P O Box)- street or rural route number, town/city, zip)

18 VINE ST. GARDINER 04345

" " "

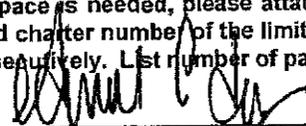
1032 LEVINSON RD. W. GARDINER 04344

16 POND RD. MANCHESTER 04351

3 WESTVIEW AUGUSTA 04330

THIS PREPRINTED FORM MUST BE USED. However if more space is needed, please attach additional pages using one side only. All attachments must contain the name and charter number of the limited liability company across the top of the page. Each page should be numbered consecutively. List number of pages attached: _____

Dated: JUL 15 2010



(AUTHORIZED SIGNATURE)

EDMUND F. DOYLE (MEMBER)

(TYPE OR PRINT NAME AND CAPACITY)

(Execution - 31 MRSA §757 3 Penalty for untrue or omitted material facts- 31 MRSA §627 3 and §721 2)

RETURN TO: Reporting Section, Bureau of Corporations, Elections and Commissions, 101 State House Station, Augusta, ME 04333

Maine Secretary of State



2009 Annual Report Electronic Filing Acknowledgment

For Limited Liability Companies on file as of December 31, 2008

Charter Number: 20080953DC
DCN Number: 2090019870372
Legal Name: KAYAK CONCEPTS, LLC

Registered Agent's Name and Address:

C. H. SPURLING, ESQ.
TWO CHURCH STREET
GARDINER, ME 04345

Brief statement of the character of the business:

KAYAK CONCEPTS

Name and Address of Members:

EDMUND L DOYLE
18 VINE STREET GARDINER ME 04345

JEAN KYLE
1032 LEWISTON ROAD WEST GARDINER ME 04345

GERALDINE M DOYLE
18 VINE STREET GARDINER ME 04345

Date of Filing: March 20, 2009

Name and Capacity of Authorizing Party:

C. H. SPURLING, ESQ., REGISTERED AGENT

LIMITED LIABILITY COMPANY

STATE OF MAINE

NONCOMMERCIAL REGISTERED AGENT

STATEMENT OF
APPOINTMENT or CHANGE

Kayak Concepts, LLC

(Name of Limited Liability Company)

Filing Fee \$35.00 for each limited liability company listed

File No 20080953DC Pages 2
Fee Paid \$ 35
DCN 2090572300040 AGNT
FILED
02/20/2009


Deputy Secretary of State

A True Copy When Attested By Signature

Deputy Secretary of State

Pursuant to 5 MRSA §§105, 108, & 109 the undersigned limited liability company executes and delivers the following statement of appointment and/or change of address by a noncommercial Registered Agent.

FIRST: ("X" all boxes that apply)

- A. change of address
B. change of noncommercial registered agent and address
C. change of noncommercial registered agent
D. change in name of current noncommercial registered agent

SECOND: The name and address of the registered agent appearing on the record in the Secretary of State's office:

David M. McCullum

(name of current registered agent)

8 Crosby Street, Augusta, ME 04338-2188

(physical street address, city, state and zip code)

P.O. Box 2188, Augusta, ME 04338-2188

(mailing address if different from above)

THIRD: (For foreign limited liability companies only)

Jurisdiction of Organization: _____

Date authorized to transact business in the State of Maine: _____

FOURTH: Complete this Item as follows based on your selection in Item First

- A. The new address of the noncommercial registered agent (provide address information only);
- B. The name and address of the new noncommercial registered agent (provide name and address information);
- C. The name of the new noncommercial registered agent (provide name only); OR
- D. The new name of the current noncommercial registered agent (provide name only).

C. H. Spurling, Esq.

(name of new noncommercial registered agent or new name of current noncommercial registered agent)

Two Church Street, Gardiner, ME 04345

(physical street address, not a P. O. Box – city, state and zip code)

(mailing address if different from above)

FIFTH: Pursuant to 5 MRSA §108.3, the registered agent as listed above has consented to serve as the registered agent for this limited liability company.

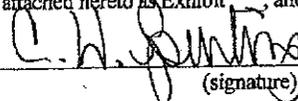
SIXTH: The undersigned noncommercial registered agent of the following limited liability company(s) has notified each limited liability company of the change indicated in Item Fourth A or D:

Name of Limited Liability Company	Jurisdiction	Date authorized or organized in Maine

Names of additional limited liability companies attached hereto as Exhibit _____, and made a part hereof

Dated February 16, 2009

*By


(signature)

C. H. Spurling, Esq.

(type or print name and capacity)

*This statement MUST be signed as follows:

- (1) if Item First, A or D was selected, then by the noncommercial registered agent; OR
- (2) if Item First, B or C was selected, then by:
 - (i) at least one manager, OR
 - (ii) at least one member if the limited liability company is managed by the members, OR
 - (iii) any duly authorized person.

Please remit your payment made payable to the Maine Secretary of State

Submit completed form to

Secretary of State
Division of Corporations, UCC and Commissions
101 State House Station
Augusta, ME 04333-0101
Telephone Inquiries. (207) 624-7752

Email Inquiries. CEC.Corporations@Maine.gov

Maine Secretary of State



2008 Annual Report Electronic Filing Acknowledgment

For Limited Liability Companies on file as of December 31, 2007

Charter Number: 20080953DC
DCN Number: 2080019889937
Legal Name: KAYAK CONCEPTS, LLC

Registered Agent and Registered Office:

DAVID M. MCCULLUM
PO BOX 2188
AUGUSTA, ME 04338-2188

Brief statement of the character of the business:

KAYAK CONCEPTS

Name and Address of Members:

JEAN KYLE
1032 LEWISTON ROAD WEST GARDINER ME 04345

GERALDINE M DOYLE
18 VINE STREET GARDINER ME 04345

EDMUND L DOYLE
18 VINE STREET GARDINER ME 04345

Date of Filing: May 28, 2008

Name and Capacity of Authorizing Party:

DAVID M MCCULLUM, AGENT

DOMESTIC
LIMITED LIABILITY COMPANY

File No. 20080953DC Pages 3
Fee Paid \$ 50
DCN 2081161400031 AMEN
FILED
04/11/2008

STATE OF MAINE

ARTICLES OF AMENDMENT

Kayak Concepts, LLC

(Name of Limited Liability Company)


Deputy Secretary of State

A True Copy When Attested By Signature

Deputy Secretary of State

Pursuant to 31 MRSA §623, the undersigned limited liability company executes and delivers for filing these articles of amendment

FIRST: The name of the limited liability company has been changed to (if no change, so indicate)

N/A

(The name must contain one of the following "Limited Liability Company", "L.L.C." or "LLC", §603-A 1)

SECOND: The management of the limited liability company has been changed (if no change, so indicate N/A). If changed, "X" one box only.

A The management of the company is vested in a member or members

B. The management of the company is vested in a manager or managers. The minimum number shall be _____ managers and the maximum number shall be _____ managers

THIRD: Other amendments to the articles, if any, that the members determine to adopt are set forth in Exhibit A attached hereto and made a part hereof.

DATED April 8 2008

Manager(s)/Member(s)*
[Signature]
(signature)
Geraldine M. Doyle
(signature)
Jean W. Kyle
(signature)

Edmund L. Doyle, Member
(type or print name and capacity)
Geraldine M. Doyle, Member
(type or print name and capacity)
Jean Kyle, Member
(type or print name and capacity)

For Manager(s)/Member(s) which are Entities

Name of Entity _____

By _____ (authorized signature) _____ (type or print name and capacity)

Name of Entity _____

By _____ (authorized signature) _____ (type or print name and capacity)

Name of Entity _____

By _____ (authorized signature) _____ (type or print name and capacity)

- *Articles **MUST** be signed by,
(1) at least one manager **OR**
(2) at least one member if the limited liability company is managed by the members **OR**
(3) any duly authorized person

The execution of this certificate constitutes an oath or affirmation under the penalties of false swearing under 17-A MRSA §453

Please remit your payment made payable to the Maine Secretary of State

SUBMIT COMPLETED FORMS TO: CORPORATE EXAMINING SECTION, SECRETARY OF STATE,
101 STATE HOUSE STATION, AUGUSTA, ME 04333-0101
FORM NO MLLC-9 (2 of 2) Rev 8/1/2004 TEL. (207) 624-7752

**OPERATING AGREEMENT
OF
KAYAK CONCEPTS, LLC**

CAPITAL CONTRIBUTIONS AND MEMBERSHIP INTERESTS

APPENDIX A

	<u>Capital Contribution</u>	<u>Membership Interests</u>
Edmund L. Doyle	40%	40%
Geraldine M. Doyle	40%	40%
Jean Kyle	20%	20%

DOMESTIC
LIMITED LIABILITY COMPANY
STATE OF MAINE
ARTICLES OF ORGANIZATION OF
LIMITED LIABILITY COMPANY

File No. 20080953DC Pages 2
Fee Paid \$ 175
DCN 2072701400030 LTLC
---FILED---
09/27/2007

Julie L. Flynn
Deputy Secretary of State

A True Copy When Attested By Signature

Deputy Secretary of State

(Mark box only if applicable)

This is a professional limited liability company** formed pursuant to 13 MRSA Chapter 22-A to provide the following professional services

(type of professional services)

Pursuant to 31 MRSA §622, the undersigned executes and delivers the following Articles of Organization of Limited Liability Company

FIRST: The name of the limited liability company is

Kayak Concepts, LLC

(The name must contain one of the following: "Limited Liability Company", "L L C" or "LLC". 31 MRSA §603-A 1)

SECOND: The name of its Registered Agent, an individual Maine resident or a corporation, foreign or domestic, authorized to do business or carry on activities in Maine, and the address of the registered office shall be

David M. McCullum

(name)

8 Crosby Street, Augusta, Maine 04338-2188

(physical location - street (not P O Box), city, state and zip code)

PO Box 2188, Augusta, Maine 04338-2188

(mailing address if different from above)

THIRD: ("X" one box only)

A The management of the company is vested in a member or members

B. 1. The management of the company is vested in a manager or managers The minimum number shall be _____ managers and the maximum number shall be _____ managers

2. If the initial managers have been selected, the name and business, residence or mailing address of each manager is

Name

Address

Names and addresses of additional managers are attached hereto as Exhibit _____, and made a part hereof

FOURTH: Other provisions of these articles, if any, that the members determine to include are set forth in Exhibit _____ attached hereto and made a part hereof

Organizer(s)*

Edmund F. Doyle, Jr.
(signature)
Geraldine M. Doyle
(signature)

(signature)

DATED 9-26-07

Edmund F. Doyle, Jr.
(type or print name)
Geraldine M. Doyle
(type or print name)

(type or print name)

For Organizer(s) which are Entities

Name of Entity _____

By _____
(authorized signature) (type or print name and capacity)

Name of Entity _____

By _____
(authorized signature) (type or print name and capacity)

Name of Entity _____

By _____
(authorized signature) (type or print name and capacity)

Acceptance of Appointment of Registered Agent

The undersigned hereby accepts the appointment as registered agent for the above-named limited liability company

Registered Agent
David M. McCullum, Esq.
(signature)

DATED 9-26-07
David M. McCullum, Esq.
(type or print name)

For Registered Agent which is a Corporation

Name of Corporation _____

By _____
(authorized signature) (type or print name and capacity)

Note If the registered agent does not sign, Form MLLC-18 (31 MRSA §607.2) must accompany this document

**Examples of professional service corporations are accountants, attorneys, chiropractors, dentists, registered nurses and veterinarians (This is not an inclusive list - see 13 MRSA §723.7)

*Articles MUST be signed by

- (1) all organizers OR
- (2) any duly authorized person

The execution of this certificate constitutes an oath or affirmation under the penalties of false swearing under 17-A MRSA §453

Please remit your payment made payable to the Maine Secretary of State.

SUBMIT COMPLETED FORMS TO: CORPORATE EXAMINING SECTION, SECRETARY OF STATE,
101 STATE HOUSE STATION, AUGUSTA, ME 04333-0101

Maine Secretary of State



2011 Annual Report Electronic Filing Acknowledgment

For Business Corporations on file as of December 31, 2010

Charter Number: 19760153 D
DCN Number: 2110019005347
Legal Name: G & E ROOFING CO., INC.

Clerk's Name and Address:

DAVID M. LIPMAN
P.O. BOX 1051
AUGUSTA, ME 04332-1051

Brief statement of the character of the business:

COMMERCIAL ROOFING

Name and Address of Officers:

TREASURER
NORMAN S. ELVIN
669 RIVERSIDE DRIVE, AUGUSTA, ME 04330

PRESIDENT
NORMAN S. ELVIN
669 RIVERSIDE DRIVE, AUGUSTA, ME 04330

VICE PRESIDENT
JENNIFER J. JACQUES
669 RIVERSIDE DRIVE, AUGUSTA, ME 04330

Name and Address of Shareholder:

NORMAN S. ELVIN

669 RIVERSIDE DRIVE, AUGUSTA, ME 04330

Date of Filing: February 22, 2011

Name and Capacity of Authorizing Party:

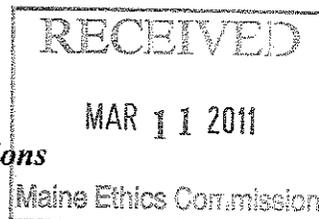
DAVID M. LIPMAN, CLERK



Matthew Dunlap
Secretary of State

Bureau of Corporations, Elections and Commissions

*Department of
the Secretary of State*



Julie L. Flynn
Deputy Secretary of State

20051174 D
2100079650001

OCTOBER PUBLICATIONS, INC.
EDMUND F. DOYLE, CLERK
18 VINE STREET

GARDINER ME 04345

The above named business corporation was reinstated effective January 6, 2010.

Sincerely,

Timothy R. Poulin
Director,
Division of Corporations and UCC

Maine Secretary of State



2010 Annual Report Electronic Filing Acknowledgment

For Business Corporations on file as of December 31, 2009

Charter Number: 20051174 D
DCN Number: 2100019063270
Legal Name: OCTOBER PUBLICATIONS, INC.

Clerk's Name and Address:

EDMUND F. DOYLE
18 VINE STREET
GARDINER, ME 04345

Brief statement of the character of the business:

NONE

Name and Address of Officers:

TREASURER
EDMUND F. DOYLE
18 VINESTREET, GARDINER, ME 04345

PRESIDENT
GERALDINE DOYLE
18 VINE STREET, GARDINER ME 04345

Name and Address of Shareholders:

GERALDINE DOYLE
18 VINE STREET, GARDINER, ME 04345

EDMUND F. DOYLE
18 VINE STREET, GARDINER, ME 04345

Date of Filing: January 6, 2010

Name and Capacity of Authorizing Party:

EDMUND F. DOYLE, TREASURER

Filing Fee:
\$85.00

Make check payable to:
Secretary of State

Please file by
APRIL 1, 2007

STATE OF MAINE
2007 ANNUAL REPORT
FOR BUSINESS CORPORATIONS ON FILE AS OF
DECEMBER 31, 2006

Pursuant to 13-C MRSA §1621 2, the information on the
report must be current as of the date signed.

Do not change any preprinted information on this form.

Filing by April 1, 2007 will allow us to
provide better service. The legal filing
deadline is still June 1, 2007. A
\$50 late filing fee will be assessed if
the report is late.

DCN Number

2070019858008

Charter Number

20051174 D

OCTOBER PUBLICATIONS, INC.
THOMAS W TAVENNER, CLERK
P.O. BOX 340
BOOTHBAY HARBOR, ME 04538

If you have any questions regarding the completion of this annual report or if the preprinted information on this report form is incorrect, contact the **Reporting & Information Section at (207) 624-7752**. All corporate forms are available on our website at www.maine.gov/sos/cec/corp. To file your annual report online, go to www.SOSonline.org and click on the Interactive Corporate Services link. **Please see reverse side of this form for additional filing instructions.** →→→

1 A brief statement of the character of the business in which the corporation is actually engaged in the State of Maine, if none, so indicate (13-C MRSA §1621 1 C)

2 Name of each officer (13-C MRSA §1621 1 D)

Street address of each officer (not P O Box)
(physical location (not P O Box) - street or rural route number, town/city, zip)

Pres GERALDINE DONNE
Treas EDMUND DONNE

18 VINE ST. GARDNER ME 04345
18 VINE ST. GARDNER ME 04345

3 Name of all Shareholders
(13-C MRSA §1621 1 D)

Street address of each (not P O Box):
(physical location (not P O Box) - street or rural route number, town/city, zip)

EDMUND F DONNE
GERALDINE DONNE

18 VINE ST. GARDNER 04345
18 VINE ST. GARDNER 04345

THIS PREPRINTED FORM MUST BE USED. However if more space is needed, please attach additional pages, using one side only. All attachments must contain the name and charter number of the corporation across the top of the page. Each page should be numbered consecutively. List number of pages attached: _____

Dated: 26 FEB 2007

Edmund F. Donne
(AUTHORIZED SIGNATURE)

EDMUND F. DONNE TREASURER

(TYPE OR PRINT NAME AND CAPACITY)

Penalty for untrue or omitted material facts (13 C MRSA §191)

DOMESTIC
BUSINESS CORPORATION

STATE OF MAINE

CHANGE OF CLERK and/or
REGISTERED OFFICE

OCTOBER PUBLICATIONS
(Name of Corporation)

File No 20051174 D Pages 2
Fee Paid \$ 35
DCN 2070651500023 CLRO
FILED
02/27/2007

Julie L. Flynn
Deputy Secretary of State

A True Copy When Attested By Signature

Deputy Secretary of State

Pursuant to 13-C MRSA §501, the undersigned corporation executes and delivers the following Change of Clerk and/or Registered Office.

FIRST: ("X" all boxes that apply)

- A. change of registered office B. change of clerk and registered office
C. change of clerk D. change in name of current clerk

SECOND: The name and registered office of the clerk appearing on the record in the Secretary of State's office

THOMAS W. TAVENNER

(name of current clerk)

P.O. BOX 340 BOWHAM HARBOR ME 04538

(street, city, state and zip code)

THIRD: Complete this item as follows based on your selection in Item First:

- A. The address of the new registered office (provide address information only),
B. The name and registered office of the new clerk, who must be a Maine resident (provide name and address information);
C. The name of the new clerk, who must be a Maine resident (provide name only); OR
D. The new name of the current clerk (provide name only)

EDMUND F. DOYLE TREASURER

(name of new clerk or new name of current clerk)

18 VINE ST. GARDINER ME 04345

(physical location, not P O Box - street, city, state and zip code)

(SAME)

(mailing address if different from above)

FOURTH: Upon a change in clerk, one of the following must be completed. ("X" one box only)

- The change of clerk was duly authorized by the board of directors of the corporation and that the power to appoint the clerk is not reserved to the shareholders by the articles or the bylaws.
 The change of clerk was duly authorized by the shareholders of the corporation.

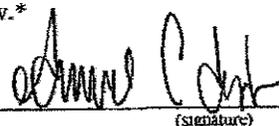
FIFTH: The undersigned clerk of the following corporation(s), who has changed the address of the registered office OR who has changed his or her name, has notified each corporation of the change indicated in Item Third A or D:

Name of Corporation

Names of additional corporations attached hereto as Exhibit ____, and made a part hereof.

Note. The following must be signed by the proper person as designated below.*

DATED Feb 26 2007

*By 
(signature)
EDMUND F. DONIE TREASURER
(type or print name and capacity)

Acceptance of Appointment of New Clerk

The undersigned hereby accepts the appointment as clerk for the above-named domestic business corporation.

DATED _____

(signature of clerk)

(type or print name)

Note If this document changes the clerk and the new clerk does not sign, Form MBCA-18 (13-C MRSA §501.3) must accompany this document.

*This document MUST be signed as follows:

- (1) if Item First. A was selected, then by the Clerk OR
- (2) if Item First. B. was selected, then by any duly authorized officer or the new Clerk OR
- (3) if Item First. C. was selected, then by any duly authorized officer or the new Clerk OR
- (4) if Item First. D was selected, then by the Clerk.

Please remit your payment made payable to the Maine Secretary of State.

SUBMIT COMPLETED FORMS TO: CORPORATE EXAMINING SECTION, SECRETARY OF STATE,
101 STATE HOUSE STATION, AUGUSTA, ME 04333-0101



Matthew Dunlap
Secretary of State

Bureau of Corporations, Elections and Commissions

*Department of
the Secretary of State*

Julie L. Flynn
Deputy Secretary of State

20051174 D
2061249650022

OCTOBER PUBLICATIONS, INC.
THOMAS W. TAVENNER, CLERK
P.O. BOX 340

BOOTHBAY HARBOR ME 04538

The above named business corporation was reinstated effective April 18, 2006.

Sincerely,

A handwritten signature in black ink that reads "Timothy R. Poulin".

Timothy R. Poulin
Director,
Division of Corporations and UCC

Filing Fee
\$85.00

Make check payable to
Secretary of State

Please file by
APRIL 1, 2006

STATE OF MAINE 2006 ANNUAL REPORT

FOR BUSINESS CORPORATIONS ON FILE AS OF
DECEMBER 31, 2005

Pursuant to 13-C MRSA §1621 2, the information on the
report must be current as of the date signed.

Do not change any preprinted information on this form.

Filing by April 1, 2006 will allow us to
provide better service. The legal filing
deadline is still June 1, 2006. A
\$50 late filing fee will be assessed if
the report is late.

DCN Number

2050039866736

Charter Number

20051174 D

OCTOBER PUBLICATIONS, INC
THOMAS W. TAVENNER, CLERK
P.O. BOX 340
BOOTHBAY HARBOR, ME 04538

If you have any questions regarding the completion of this annual report, contact the **Reporting & Information Section** at (207) 624-7752. If the preprinted information on this report form is incorrect, contact the **Corporate Examining Section** at (207) 624-7740 or visit our website at www.maine.gov/sos/cec/corp to obtain the proper form to make the necessary changes. To file your annual report online, go to www.SOSonline.org and click on the Interactive Corporate Services link. Please see reverse side of this form for additional filing instructions. →→→

1 A brief statement of the character of the business in which the corporation is actually engaged in the State of Maine, if none, so indicate: (13-C MRSA §1621 1 C)

publishing company

2 Name of each officer (13-C MRSA §1621 1 D)

Street address of each officer (not P O Box)
(physical location (not P O Box) - street or rural route number, town/city, zip)

Pres

Geraldine Doyle 18 Vine Street, Gardiner, ME

Treas.

Buddy Boyce 18 Vine Street, Gardiner, ME

3 Name of all Shareholders
(13-C MRSA §1621 1 D)

Street address of each (not P O Box)
(physical location (not P O Box) - street or rural route number, town/city, zip)

same as above

THIS PREPRINTED FORM MUST BE USED. However if more space is needed, please attach additional pages, using one side only. All attachments must contain the name and charter number of the corporation across the top of the page. Each page should be numbered consecutively. List number of pages attached: _____

Dated: 3/24/06

Geraldine Doyle
(AUTHORIZED SIGNATURE)
GERALDINE DOYLE, shareholder
(TYPE OR PRINT NAME AND CAPACITY)

Penalty for untrue or omitted material facts (13-C MRSA §151)

RETURN TO Reporting Section, Bureau of Corporations, Elections and Commissions, 101 State House Station, Augusta, Maine 04333-0101
FORM NO. MBCA-13



Matthew Dunlap
Secretary of State

Bureau of Corporations, Elections and Commissions

*Department of
the Secretary of State*

Julie L. Flynn
Deputy Secretary of State

20051174 D
2052989852700

OCTOBER PUBLICATIONS, INC.
THOMAS W. TAVENNER, CLERK
P.O. BOX 340
BOOTHBAY HARBOR, ME 04538

Please be advised that your corporation has been administratively dissolved pursuant to 13-C M.R.S.A. Section 1421 for failure to file the 2005 Annual Report and to pay the filing fee and penalty owed. A corporation, while administratively dissolved, may not transact business in the State of Maine.

Our records indicate that you were notified of this impending administrative dissolution on 08/16/2005. In order to reinstate your corporation at this time, you must file the 2005 Annual Report together with the \$85.00 filing fee, the \$50.00 late filing penalty and the \$150.00 reinstatement fee.

You may reinstate your corporation by filing your 2005 Annual Report online at www.SOSonline.org. The filing fee, late filing penalty and reinstatement fee may be paid over the Internet with Visa, Mastercard or electronic check. As an alternative, if you need to reinstate by filing a paper annual report, you may download the preprinted annual report form by using Paper Annual Reports also available at www.SOSonline.org.

Both online services will require that you enter the following information:

Charter Number: 20051174 D

If you have any questions concerning this matter or require assistance in reinstating your corporation, please contact the Reporting and Information Section of our office at (207) 624-7752.

Dated this twenty-fifth day of October, 2005.

Sincerely,

Timothy R. Poulin
Director,
Division of Corporations and UCC



Bureau of Corporations, Elections and Commissions

*Department of
the Secretary of State*

Julie L. Flynn
Deputy Secretary of State

Matthew Dunlap
Secretary of State

August 16, 2005

20051174 D

2052289063174

OCTOBER PUBLICATIONS, INC.
THOMAS W. TAVENNER, CLERK
P.O. BOX 340
BOOTHBAY HARBOR, ME 04538

RE: FAILURE TO FILE ANNUAL REPORT - **FILE ONLINE TODAY !**

Our records indicate that you have not yet filed your 2005 Annual Report for the year ending December 31, 2004, which was due in our office on or before June 1, 2005 together with the filing fee of \$85.00. We are therefore required by 13-C M.R.S.A. Section 1622 (1) to assess a late filing penalty of \$50.00.

If this office does not receive the Annual Report in proper filing order together with the \$85.00 filing fee and the \$50.00 late filing penalty, within 65 days of the date of this notice, your corporation will be administratively dissolved.

You may file your 2005 Annual Report using Annual Reports Online available at www.SOSonline.org. The filing fee and the late filing penalty may be paid over the Internet with Visa or MasterCard. As an alternative, if you need to file the paper annual report, you may download the preprinted annual report form by using Paper Annual Reports also available at www.SOSonline.org.

Both online services will require that you enter the following information:

Charter Number : 20051174 D

If you have any questions concerning this matter, please contact the Reporting and Information Section of our office at (207)624-7752.

Sincerely,

Timothy R. Poulin
Director,
Division of Corporations and UCC

DOMESTIC
BUSINESS CORPORATION

STATE OF MAINE

File No. 20051174 D Pages 2
Fee Paid \$ 145
DCN 2050041600002 ART1
FILED
12/21/2004

ARTICLES OF INCORPORATION

(Mark box only if applicable)

This is a professional corporation** formed pursuant to 13 MRSA Chapter 22-A to provide the following professional services:

(type of professional services)

Julie L. Flynn

Deputy Secretary of State

A True Copy When Attested By Signature

Deputy Secretary of State

Pursuant to 13-C MRSA §202, the undersigned executes and delivers the following Articles of Incorporation:

FIRST: The name of the corporation is OCTOBER PUBLICATIONS, INC.

SECOND: The name of its initial Clerk, who must be a Maine resident, and the address of the initial registered office shall be
Thomas W. Tavenner

(name)

654 Wiscasset Road, Boothbay, ME 04537

(physical location, not P.O. Box - street, city, state and zip code)

P.O. Box 340, Boothbay Harbor, ME 04538

(mailing address if different from above)

THIRD: ("X" one box only)

There shall be only one class of shares. The number of authorized shares is 1000

(Optional) Name of class: Common

There shall be two or more classes or series of shares. The information required by §601 concerning each such class and series is set forth in Exhibit ___ attached hereto and made a part hereof.

FOURTH: ("X" one box only)

The corporation will have a board of directors.

There will be no directors; the business of the Corporation will be managed by shareholders. (§743)

FIFTH: (For corporations with directors, each of the following provisions is optional - "X" only if applicable)

The number of directors is limited as follows: not fewer than ___ nor more than ___ directors. (§803)

To the fullest extent permitted by §202.2.D., a director shall have no liability to the Corporation or shareholders for money damages for an action taken or a failure to take an action as a director.

Except as otherwise specified by contract or in its bylaws, the Corporation shall in all cases provide indemnification (including advances of expenses) to its directors and officers to the fullest extent permitted by (§§202, 857 and 859)

SIXTH: ("X" only if applicable)

The Corporation elects to have preemptive rights as defined in §641.

SEVENTH: Name and address of each Incorporator is set forth below or on Exhibit _____ attached hereto:

Geraldine Doyle
(type or print name)

18 Vine Street
(street or mailing address)

Gardiner, ME 04345
(city, state and zip code)

(type or print name)

(street or mailing address)

(city, state and zip code)

(type or print name)

(street or mailing address)

(city, state and zip code)

EIGHTH: ("X" only if applicable)

Additional provisions of these Articles of Incorporation are set forth in Exhibit _____ attached hereto and made a part hereof. (§202)

DATED 12/17/04

*By *Geraldine Doyle*
(signature of incorporator)
Geraldine Doyle
(type or print name and capacity)

Acceptance of Appointment of Clerk

The undersigned hereby accepts the appointment as clerk for the above-named domestic business corporation.

DATED 12/17/04
[Signature]
(signature of clerk)

Thomas W. Tavenner
(type or print name)

Note: Unless the Clerk is signing here to accept appointment as clerk, Form MBCA-18 (§501.3) must accompany this document.

**The professional corporation name must contain one of the following: "chartered," "professional corporation," "professional association" or "service corporation" or the abbreviation "P.C.," "P.A." or "S.C."

*These articles must be dated and executed by an incorporator pursuant to the provisions of §121.5.

Please remit your payment made payable to the Maine Secretary of State.

SUBMIT COMPLETED FORMS TO: CORPORATE EXAMINING SECTION, SECRETARY OF STATE,
101 STATE HOUSE STATION, AUGUSTA, ME 04333-0101

FILING REQUIREMENTS REMINDERS

Once your legal entity has been accepted for filing by the Secretary of State's office, it is important that you keep the following filing requirements in mind.

ANNUAL REPORT FILING:

- An annual report is required to be filed every year in order to maintain a good standing status with this office. The **legal filing deadline is June 1st**.
- The first annual report filing must be filed between January 1st and June 1st of the year following the calendar year in which the entity was incorporated, organized or qualified. Subsequent annual reports must be delivered to the Secretary of State between January 1st and June 1st of the following calendar years. **Examples:**

Articles filed between **January 1, 2010 to December 31, 2010**, the first annual report is due by June 1, 2011

Articles filed between **January 1, 2011 to December 31, 2011**, the first annual report is due by June 1, 2012.

- This annual report is required to be filed every year in order to maintain a good standing status with this office.
- It is the entity's responsibility to file the annual report in a timely manner. If you would like to receive an email reminder notification, you must file the annual report online. Your annual report can be filed quickly and easily using Maine's online filing system, simply visit www.SOSonline.org and click on the Interactive Corporate Services link. Payment may be made by Visa, MasterCard, Discover, electronic check or subscriber account. The annual report fee is \$85 for domestic business entities, \$150 for foreign business entities and \$35 for domestic and foreign nonprofit corporations.
- If you must file using a paper annual report form, you may download your entity's preprinted paper form by using our "Create a Preprinted Annual Report Form" also available at www.SOSonline.org under the Interactive Corporate Services link.
- Our office no longer mails a reminder to file annual reports. Email reminders will be sent to the email address on file for the entity. If you would like to receive an email filing reminder notification, you must provide our office with a valid email address and keep it current at all times. The email will come from CEC.Corporations@Maine.gov so you should update your spam filter to add this email address as a non-spam email. Our office is aware that emails coming from this email address often go into a spam folder in email systems.
- If you file paper annual report forms, it is **very important** that you put a reminder on your calendar to file subsequent annual reports in a timely manner.
- If the report is not received by the filing deadline, there will be a late filing penalty assessed. Failure to pay the late filing penalty will result in the administrative dissolution or revocation of your legal entity.

NONCOMMERCIAL CLERK OR NONCOMMERCIAL REGISTERED AGENT ADDRESS CHANGE:

A noncommercial clerk or noncommercial registered agent can change their address online. This online service allows the noncommercial clerk or noncommercial registered agent the functionality to change their address on file with our office. To change the address of the noncommercial clerk or registered agent, simply visit "Change of Address Online Service" available at www.SOSonline.org under the Interactive Corporate Services link.

COMMERCIAL CLERK OR COMMERCIAL REGISTERED AGENT CHANGE

A commercial clerk or commercial registered agent can maintain the data associated with its listing and manage the relationships to its represented entities online at www.SOSonline.org under the "Commercial Clerk & Commercial Registered Agent Online Listing & Management Service" Interactive Corporate Services link. In order to use this online service, the commercial clerk or commercial registered agent must have an InforME subscriber account login and password.

PRINCIPAL OR HOME OFFICE ADDRESS CHANGE FOR FOREIGN ENTITIES

An authorized individual of a foreign entity (organized outside of Maine) can change the principal or home office address online. To change the principal or home office address on a foreign entity online, simply visit "Change of Address Online Service" available at www.SOSonline.org under the Interactive Corporate Services link.

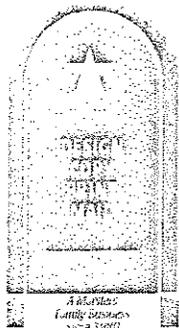
APPLICATION FOR EXCUSE:

- Any domestic business or nonprofit corporation that is currently in good standing but not conducting business, which wishes to be put in an inactive status, may file an application for excuse.
- To avoid having to submit an annual report, the excuse form may be filed at any time prior to the next annual report filing deadline. Once a corporation is excused, it is not required to file reports until a certificate of resumption is submitted.

NONPROFIT COMPENSATION INFORMATION REQUIREMENT:

- A public benefit corporation that receives at least 25% of its total funding from one or more municipal, county, state or federal sources shall provide to the public information about the total compensation paid by the corporation to any director or officer of the corporation if the compensation exceeds \$250,000 in any 12-month period. The corporation shall make the information available by posting the information on its publicly accessible website or through other comparable means. "Compensation" includes all remuneration and benefits.

**To contact a customer service representative for filing assistance, please contact the
Division of Corporations, UCC & Commissions at (207) 624-7752.**



BANGOR LETTER SHOP & COLOR COPY CENTER

Penobscot Plaza
99 Washington Street
Bangor, ME 04401-6518

TEL (207) 945-9311
FAX (207) 942-9914

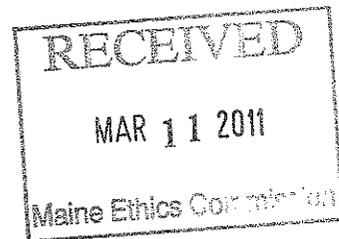
info@bangorlettershop.com

Invoice	
No:	Date: 05/22/08

COMMITTEE TO ELECT JOSEPH GREENIER
104 MUSKRAT ROAD
STOCKTON SPRINGS ME 04981

Ship To:

DISTRICT #23



Acct.No	Ordered by	Phone	P.O. No	Prepared by	Sales Rep	Ship Via	
	JOSEPH GREENIER	567-3635		AMY		CALL	
Quantity	Description					Price	
12	MAGNETIC SIGNS 14 X 22 ONE COLOR SIX SETS = 12 TOTAL					225.00	
500	LAWN SIGNS 22 X 48 FOLDED TO 14 X 22 ONE COLOR INK					887.50	
500	NEW WIRES FOR LAWN SIGNS					500.00	
<p>THANK YOU FOR YOUR ORDER!</p> <p><i>Handwritten signature: Joe [unclear]</i> <i>Handwritten note: Paid check # 114 5/23/08</i></p>							
						Subtotal	1,612.50
						Shipping	0.00
						Postage	0.00
						Tax	80.63
						TOTAL	1,693.13
						Paid	-50.40
						BALANCE	1,642.73
						Terms	Net 30 Days

PLEASE PAY THE BALANCE FROM THIS INVOICE.

Bangor Letter Shop & Color Copy Ctr - 99 WASHINGTON STREET - Bangor, ME 04401-5410 - (207) 945-9311

(print# 2)



CAMPAIGN LAWN SIGNS

Singles 14" X 22" or 11" X 28"

- Weather Resistant - Polyethylene Plastic Coated on Both Sides
- Clear, Sharp Screen Printing
- Positive or Reverse at No Extra Charge
- Extensive or Complex Artwork May Require an Art Charge
- Specify Horizontal or Vertical Position
- Heavy 24 Point White Stock
- Foldover Posters Easily Convert to Yard Signs by Folding on the Score

QUANTITY	100	150	200	250	300	400
1 Color #15089	\$228.75	\$262.50	\$298.75	\$327.50	\$387.50	\$445.00
2 Color #15090	\$311.25	\$345.00	\$377.50	\$408.75	\$481.25	\$553.75

Foldover 22" X 28"

(Scoring charge included in pricing)

QUANTITY	100	150	200	250	300	400
1 Color #15091	\$361.25	\$450.00	\$507.50	\$611.25	\$640.00	\$775.00
2 Color #15092	\$440.00	\$543.75	\$616.25	\$740.00	\$797.58	\$930.00

FOLDOVER SIGN HOLDERS

Size	New	Used
14x22	\$1.00 ea	NA
11x28	\$1.00 ea	\$0.60 ea



1/4 SHEET PERSONALIZED POSTCARDS *(Clincher Cards)*

QUANTITY	1000	2000	3000	4000	5000
1 Color #14287	\$210.49	\$263.49	\$316.49	\$274.49	\$423.49
2 Color #14986	\$231.95	\$280.95	\$341.95	\$402.95	\$450.95

Size 4.25 x 5.5

White Coated or Uncoated Card Stock • Printed 2-Sides

Postcards require 27c postage, as of May 14, 2008, on each card to mail individually with personal notes from door-to-door campaigning. Cards can be mailed at a slightly lower postage rate with pre-printed note rather than personal notes. See other postage / mailing information on reverse side.



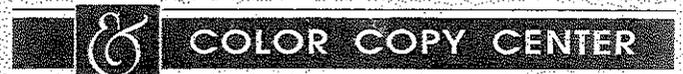
BUMPER STICKERS

Size: 11.5 x 3

QUANTITY	125	250	500	1000
1 Color #15093	\$156.25	\$187.50	\$270.00	\$343.75
2 Color #15094	\$237.50	\$281.25	\$350.00	\$468.75

Start Your Campaign with Us!

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★★ CAMPAIGN 2008: Printing & Mailing Pricing ★★

FLYERS

Size: 8.5 x 11 • Stock: 60# White or Color Text
 Printed 2-Sides

QUANTITY	1000	2000	3000	4000	5000
1 Color #15027	\$157.49	\$186.49	\$215.49	\$254.49	\$297.49
2 Color #15026	\$184.95	\$220.45	\$251.95	\$293.95	\$337.95

PALM CARDS

Size: 8.5 x 3.3 • White Glossy or Uncoated Stock
 Printed 2 Sides

QUANTITY	1000	2000	3000	4000
1 Color #14910	\$177.49	\$223.49	\$251.49 JCEUS	\$311.49
2 Color #14983	\$199.95	\$247.95	\$295.95	\$341.95

OVERSIZED POSTCARDS

Size 5.5 x 8.5 • White Glossy or Uncoated Card Stock • Printed 2-Sides

QUANTITY	1000	2000	3000	4000	5000
1 Color #15024	\$189.49	\$240.49	\$296.49	\$352.49	\$408.49
2 Color #15025	\$211.95	\$264.95	\$323.95	\$381.95	\$440.95

Mailing costs are separate - please see below

BUSINESS CARDS

Size: 3.5 x 2
 80# Uncoated or Glossy Cover Stock

★★ 1 SIDED ★★

QUANTITY	500	1000	2000	5000
1 Color #15045	\$130.49	\$145.49	\$174.49	\$217.49
2 Color #15047	\$162.95	\$179.95	\$211.95	\$264.95

★★ 2 SIDED ★★

QUANTITY	500	1000	2000	5000
1 Color #15046	\$165.49	\$184.49	\$222.49	\$269.49
2 Color #15048	\$199.95	\$217.95	\$251.95	\$299.95

VOTER QUESTIONNAIRE OR SURVEY RESULTS

Size: 8.5x14 • Stock: 60# White or Colored Text • Printed 2-Sides & Folded

QUANTITY	1000	2000	3000	4000	5000
1 Color #14286	\$238.49	\$283.49	\$327.49	\$371.49	\$416.49
2 Color #14985	\$272.95	\$319.95	\$366.95	\$413.95	\$460.95

Mailing costs are separate - please see below

SATURATION MAILING: 23.9¢/PIECE PROCESSING & POSTAGE

- Includes assembling addresses for saturation of legislative district (one piece per maildrop), addressing, sorting, delivering to Post Office and paying postage (tabbing of mailpieces not recommended nor required).
- In some special cases where legislative districts and mail routes do not adequately align (within municipality), use of a digital voter list may be preferable. This type of mailing usually has a slightly higher postage rate but a fewer number of pieces are mailed. Consultation with staff and/or candidate regarding coverage and costs is customary.
- Whenever digital voter lists are used, the alternative to mailing one piece to each voter is to utilize a duplicate detect by address so that only one piece is mailed per address or per family name at each address.

Time to hoist a cold one to toast new mayor

0 Comments | Kennebec Journal, Jan 6, 2007

A local weekly reported recently about campaign expenditures in the Augusta mayoral campaign. I thought I was finished with editorials for the year, but since my name was mentioned as a recipient of campaign funds -- to pay for campaign signs -- well, maybe just one more effort. I support full disclosure of political campaign funds, so I offer the following:

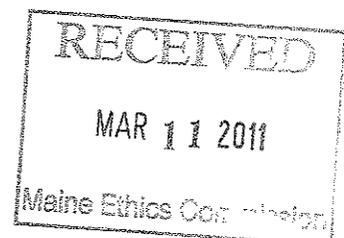
The total of \$250 contributions was far eclipsed by the total of \$5 and \$10 contributions. The candidate wanted to send back some of the money, but it would be like refunding people's faith and trust. Roger Katz often declined our invitation for "a cold one" on a hot summer night because he wanted to walk yet another neighborhood. He vowed to "knock on every single door in Augusta," and we believe he did. He's spent most of his adult life knocking on someone's door to ask, "What can I do to help?" So when it came time to support his candidacy, contributions large and small poured in -- and volunteers turned out in droves to ask, "What can we do to help?"

On Jan. 2, 2007, Roger Katz was inaugurated as Mayor of Augusta. Be pleased. Be grateful. Because we predict, with absolute certainty, that 20 or 30 years from now this time will be known as "The Katz Era," and we invite you to join us for a cold one to toast to "A Mayor for ALL of Us" -- Happy New Era!

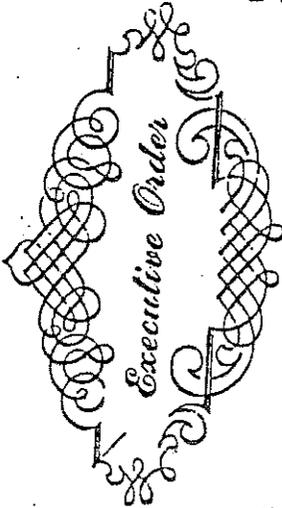
Buddy Doyle

Gardiner

Copyright Kennebec Journal Jan 6, 2007



PLEASE POST



OFFICE OF
THE GOVERNOR

AN ORDER
ESTABLISHING A CODE OF ETHICS AND CONDUCT
FOR THE EXECUTIVE BRANCH
OF MAINE STATE GOVERNMENT

NO. 10. EX88/85
DATE April 1, 1989

Code of Ethics
Maine State Government

Executive Order
April 1, 1989
Page 2

1. Be guided by the highest standards of honor, personal integrity, and fortitude in all public activities in order to merit the respect of other officials, employees, and the public. Strive to inspire public confidence and trust in Maine State Government institutions.

Perceptions of others are critical to the reputation of an individual or a public agency. Nothing is more important to public administrators than the public's opinion regarding their honesty, truthfulness, and personal integrity. The best insurance against loss of public confidence is adherence to the highest standards.

Whereas, the government of the State of Maine is established to serve the needs and interests of the People of the State of Maine; and
Whereas, the quality and amount of service provided the People depends very largely on the skill, commitment, enthusiasm, effort, and concerns of Maine State employees; and

Public administrators are obligated to develop civic virtues as a result of the public responsibilities they have sought and obtained. Respect for the truth, for fairly dealing with others, for sensitivity to rights and responsibilities of citizens, and for the public good must be developed, carefully nurtured and enhanced.

Whereas, each State employee has inordinate opportunity for service and contribution, just as the employee has a singular trust and responsibility given by the power of the People; and

If responsible for the performance of others, share with them the reasons for the importance of integrity. Hold them to high ethical standards and teach them by example the moral, as well as the financial, responsibility entrusted to them.

Whereas, the high quality and character of the collective performance of public servants are a fundamental source of pride and satisfaction to each one of us as individuals; and

If responsible only for your own performance, do not compromise honesty and integrity for advancement, honors, or personal gain. Be respectful of proper authority and appointed or elected superiors and sensitive to the expectations and the values of the public you serve. Practice the golden rule: doing to and for others what you would have done to and for you in similar circumstances. Be modest about your talents, letting your work speak for you. Be generous in praise of the good work of fellow workers. Guard the public purse as if it were your own.

Whereas, the Maine Revised Statutes include specific requirements for public employees and officials, including among others: Title 5, Sections 18, 19, and 20; Title 17, Section 3104; and Title 17-A, Chapter 25, Section 601 et. seq.; and

Whereas, our conduct must be more than within the letter of the law; it must seek to fulfill the spirit and intent; and

By example, give testimony to the regard for the rights of others. Concede gracefully, quickly, and publicly when you have erred. Be fair and sensitive to those who have not fared well in their dealings with your agency and its application of the law, regulations, or administrative procedures.

Whereas, a clear statement of the code of ethics and conduct which guides Maine State Government is both an assurance to the People and an aid to our steadfast efforts;

Now, Therefore, I, John R. McKernan, Jr., Governor of the State of Maine, do hereby set forth a code of ethics and conduct for the Officers and Employees of Maine State Government, as follows:

2. Serve the State with respect, concern, courtesy, and responsiveness, recognizing that government service is service to the People of Maine. Keep the Legislature and public informed on pertinent issues.

Be sure answers to questions on public policy are complete, understandable and true. Encourage staff to be courteous to everyone at all times. Devise a simple system to ensure that staff gives helpful and pleasant service to the public. Whenever possible, show citizens how to deal effectively in their relations with government.

Each citizen's questions should be answered as thoughtfully and as fully as possible. If you or your staff do not know the answer to a question, an effort should be made to obtain an answer or to help the citizen make direct contact with the appropriate office.

Part of serving the public responsibly is to encourage citizen cooperation and to involve civic groups. Administrators have responsibility to involve citizens with the government as far as practical, both to secure citizen support of government, and for the economies of increased effectiveness which may result. Respect the right of the public to be aware of the activities of your agency.

3. Strive for professional excellence and encourage the professional development of associates and those seeking to enter the field of public administration in order to provide effective and responsible government to the citizens of Maine. The primary role is to provide the best possible and most cost effective service to the citizens of Maine.

All employees should attend professional development meetings, read books and periodicals related to their field, and talk with specialists. The goal is to keep informed about the present and future issues and problems in a professional field and organization in order to take advantage of opportunities and avoid problems.

Serious mistakes in public administration have been made by people who did their jobs conscientiously but failed to look ahead for emerging problems and issues. State employees should be catalysts to stimulate discussion and reflection about improving efficiency and effectiveness of public services and involvement.

4. Approach organization and operational duties with a positive attitude and constructively support open communication, cooperation, creativity, dedication and compassion.

Americans expect government to be compassionate, well organized, and to operate within the law. Public employees should understand the purposes of their agencies and the roles they play in achieving those purposes. Dedication and creativity of staff members will flow from a sense of purpose.

Maine Government should strive to create a work environment which supports positive and constructive attitudes among workers at all levels. This open environment should permit employees to comment on work activities without fear of reprisal. In addition, managers can strengthen this open environment by establishing procedures ensuring thoughtful and objective review of employee concerns.

Supervisors should inform their staff that suggestions, complaints and constructive criticism may be brought to them without fear of reprisal. Employees should share these concerns and insights with their supervisor before making them public. Supervisors should be aware that employees have rights under the "Whistleblowers' Protection Act," under legislation regarding testimony provided by State employees to legislative committees, and other laws and judicial decisions. Public employees have a right to make public their criticism on matters of public concern, but it is their personal and professional responsibility not to misrepresent facts and to act in good faith. Employees need to make it clear when they are acting as an official representative of their organization and when they are exercising their rights as an individual.

5. Avoid any interest or activity which is in conflict with the conduct of official duties. Serve in a manner as to avoid inappropriate personal gain resulting from the performance of official duties.

Public employees should not undertake any task which is in conflict, or could be viewed as in conflict, with job responsibilities. This general statement addresses a fundamental principle that public employees are trustees for all the people. Actions or inactions which conflict with, injure, or destroy this foundation of trust between the people and State employees must be avoided.

Experience indicates that conflict of interest and corruption often arises as a result of interaction between persons who know each other very well. All public employees, especially those agencies with inspective or investigative responsibilities, have a special obligation to reduce vulnerability to conflicts of interest.

Individuals holding a position recognized by law or regulation as an unclassified or political appointment have a special obligation to behave in ways which do not suggest that official acts are driven by partisan political concerns.

Public employees should remember that, despite whatever preventive steps they might take, situations which hold the possibility for conflict of interest will always emerge. Consequently, constant awareness of the potential for conflict of interest is important.

8. Accept, as a personal duty, the responsibility to be informed of emerging issues and to administer the public's business with professional competence, fairness, impartiality, efficiency and effectiveness.

Staff members, throughout their careers, should be encouraged to participate in professional activities and associations. They should also be reminded of the importance of doing a good job and their responsibility to improve the public service.

9. Support, implement, and promote programs of affirmative action to assure equal opportunity in the recruitment, selection, and advancement of qualified persons from all elements of society.

Oppose any discrimination based on race, color, religion, sex, marital status, ancestor or national origin, political affiliation, physical or mental handicaps, or age in all aspects of personnel policy. A person's lifestyle should not be the occasion for discrimination if it bears no reasonable relation to his or her ability to perform required tasks.

No form of harassment should be tolerated. All employees should be aware of and use appropriate channels to eliminate any form of harassment of which they become aware.

10. Respect and value the work done by all State employees.

Respect the worth and dignity of each individual member of the State Government organization. Through programs enhancing the quality of work life, strive to develop a more humane and caring organization.

The effective date of this Order is April 1, 1989.


John R. McKeenan, Jr., Governor

The gains sought from public employment should be salaries, fringe benefits, respect, and recognition for work. Personal gains may also include the pleasure of doing a good job, helping the public, and achieving career goals. No elected or appointed public official or employee should borrow or accept personal gifts from any person or entity which buys services from, or sells to, or is regulated by, his or her governmental agency. If work requires frequent contact with contractors supplying State government, one should be sure to pay for his or her own expenses. Public property, funds and power should never be directed toward personal or political gain. It should be made clear to every State employee that any use of public funds to benefit self, family, or friends will not be tolerated.

6. Respect and protect the privileged information to which we have access in the course of official duties.

Much information in public offices is privileged for reasons of security or statutes. In conversation with colleagues about privileged matters, be sure they need the information and enjoin them to secrecy. If the work is important enough to be confidential, learn and follow the rules set by the agency. Special care must be taken to secure access to confidential information stored on computers.

Where other governmental agencies have a legitimate public service need for information possessed by an agency, do all possible to cooperate within the limits of statute, administrative regulations and promises made to those who furnish the information.

7. Use discretionary authority to promote the public interest.

If work involves discretionary decisions, first secure policy guidelines from your supervisor. Then ensure that all staff who "need to know" are informed of these policies and have an opportunity to discuss the means of putting them into effect.

There are occasions when a law is unenforceable or has become obsolete. In such cases, recommend to your supervisor that the law be modernized. After consultation with the agency's legal advisor, the manager or highest official should determine the steps necessary to modernize or abolish the law.

Acknowledge frequently that every decision creates a precedent, so all decisions should be ethically sound. This is the best protection for staff as well as for the public.

Code of Ethics
Maine State Government

1. Be guided by the highest standards of honor, personal integrity, and fortitude in all public activities in order to merit the respect of other officials, employees and the public. Strive to inspire public confidence and trust in Maine State Government institutions.
2. Serve the State with respect, concern, courtesy, and responsiveness, recognizing that government service means service to the people of Maine; keep the Legislature and public informed on pertinent issues.
3. Strive for professional excellence and encourage the professional development of associates and those seeking to enter the field of public administration in order to provide effective and responsible government to the citizens of Maine. The primary role is to provide the best possible and most cost effective service to the citizens of Maine.
4. Approach organization and operational duties with a positive attitude and constructively support open communication, cooperation, creativity, dedication and compassion.
5. Avoid any interest or activity which is in conflict with the conduct of official duties. Serve in a manner as to avoid inappropriate personal gain resulting from the performance of official duties.
6. Respect and protect the privileged information to which there is access in the course of official duties.
7. Use discretionary authority to promote the public interest.
8. Accept as a personal duty the responsibility to be informed of emerging issues and to administer the public's business with professional competence, fairness, impartiality, efficiency and effectiveness.
9. Support, implement, and promote programs of affirmative action to assure equal opportunity in the recruitment, selection, and advancement of qualified persons from all elements of society.
10. Respect and value the work done by all State employees.

CAMPAIGN LAWN SIGNS

Singles 14" X 22" or 11" X 28"

QUANTITY	100	150	200	250	300	400
1 Color #15089	\$237.95	\$272.95	\$310.95	\$340.95	\$402.95	\$462.95
2 Color #15090	\$323.95	\$358.95	\$392.95	\$424.95	\$499.95	\$575.95

Foldover 22" X 28"

(Scoring charge included in pricing)

QUANTITY	100	150	200	250	300	400
1 Color #15091	\$375.49	\$468.49	\$527.49	\$635.49	\$665.49	\$806.49
2 Color #15092	\$457.49	\$565.49	\$640.49	\$769.49	\$829.49	\$967.49

- Weather Resistant - Polyethylene Plastic Coated on Both Sides
- Clear, Sharp Screen Printing
- Positive or Reverse at No Extra Charge
- Extensive or Complex Artwork May Require an Art Charge
- Specify Horizontal or Vertical Position
- Heavy 24 Point White Stock
- Foldover Posters Easily Convert to Yard Signs by Folding on the Score

FOLDOVER SIGN HOLDERS

Size	New
14x22	\$1.29 ea
11x28	\$1.49 ea

BUSINESS CARDS

Size: 3.5 x 2

80# Uncoated or Glossy Cover Stock

☆☆ 1 SIDED ☆☆

QUANTITY	500	1000	2000	5000
1 Color #15045	\$130.49	\$145.49	\$174.49	\$217.49
2 Color #15047	\$162.95	\$179.95	\$211.95	\$264.95

☆☆ 2 SIDED ☆☆

QUANTITY	500	1000	2000	5000
1 Color #15046	\$165.49	\$184.49	\$222.49	\$269.49
2 Color #15048	\$199.95	\$217.95	\$251.95	\$299.95

DUMPER STICKERS

Size: 11.5 x 3

QUANTITY	125	250	500	1000
1 Color #15093	\$162.49	\$195.49	\$280.49	\$357.49
2 Color #15094	\$246.99	\$292.99	\$364.99	\$487.99

Start Your Campaign with Us!

Bangor Letter Shop



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Bangor, Maine 04401-6518

TEL (207) 945-9311 • FAX (207) 942-9914

iv@bangorlettershop.com • www.bangorlettershop.com

Prices are effective for orders placed through June 8, 2010

Bangor Letter Shop



Penobscot Plaza • 99 Washington Street • Bangor, Maine 04401-6518
 TEL (207) 945-9311 • FAX (207) 942-9914 • irv@bangorlettershop.com

★★ CAMPAIGN 2010: Printing & Mailing Pricing ★★

FLYERS

Size: 8.5 x 11 • Stock: 60# White or Color Text
 Printed 2-Sides

QUANTITY	1000	2000	3000	4000	5000
1 Color #15027	\$161.29	\$193.49	\$226.49	\$268.49	\$315.49
2 Color #15026	\$188.95	\$227.95	\$263.95	\$309.95	\$355.95

PALM CARDS

Size: 8.5 x 3.3 • White Glossy or Uncoated Stock
 Printed 2 Sides

QUANTITY	1000	2000	3000	4000
1 Color #14910	\$177.49	\$223.49	\$268.45	\$311.49
2 Color #14983	\$199.95	\$247.95	\$295.95	\$341.95

OVERSIZED POSTCARDS

Size 5.5 x 8.5 • White Glossy or Uncoated Card Stock • Printed 2-Sides

QUANTITY	1000	2000	3000	4000	5000
1 Color #15024	\$205.49	\$272.49	\$339.49	\$405.49	\$472.49
2 Color #15025	\$232.95	\$303.95	\$373.95	\$444.95	\$514.95

Mailing costs are separate - please see below

1/4 SHEET PERSONALIZED POSTCARDS (Clincher Cards)

QUANTITY	1000	2000	3000
1 Color #14287	\$187.49	\$235.49	\$284.49
2 Color #14986	\$214.95	\$263.95	\$318.95

VOTER QUESTIONNAIRE OR SURVEY RESULTS

Size: 8.5x14 • Stock: 60# White or Colored Text • Printed 2-Sides & Folded

QUANTITY	1000	2000	3000	4000	5000
1 Color #14286	\$238.49	\$283.49	\$327.49	\$371.49	\$416.49
2 Color #14985	\$272.95	\$319.95	\$366.95	\$413.95	\$460.95

Mailing costs are separate - please see below

QUANTITY	4000	5000
1 Color #14287	\$332.49	\$380.49
2 Color #14986	\$370.95	\$420.95

Size 4.25 x 5.5
 White Coated or Uncoated Card Stock
 Printed 2-Sides

SATURATION MAILING: 24.4¢/PIECE PROCESSING & POSTAGE

- Includes assembling addresses for saturation of households in a legislative district (one piece per maildrop), addressing, sorting, delivering to Post Office and paying postage (tabbing of mailpieces not recommended nor required).
- In some special cases where legislative districts and mail routes do not adequately align (within municipality), use of a digital voter list may be preferable. This type of mailing usually has a slightly higher postage rate but a fewer number of pieces are mailed. Consultation with staff and/or candidate regarding coverage and costs is customary.
- Whenever digital voter lists are used, the alternative to mailing one piece to each voter is to utilize a duplicate detect by address so that only one piece is mailed per address or per family name at each address.

CAMPAIGN LAWN SIGNS

Singles 14" X 22" or 11" X 28"

QUANTITY	100	150	200	250	300	400
1 Color #15089	\$224.75	\$282.50	\$298.75	\$327.50	\$387.50	\$445.00
2 Color #15090	\$311.25	\$345.00	\$377.50	\$408.75	\$481.25	\$553.75

- Weather Resistant - Polyethylene Plastic Coated on Both Sides
- Clear, Sharp Screen Printing
- Positive or Reverse as No Extra Charge
- Extensive or Complex Artwork May Require an Art Charge
- Specify Horizontal or Vertical Position
- Heavy 24 Point White Stock

Foldover 22" X 28"

(Scoring charge included in pricing)

QUANTITY	100	150	200	250	300	400
1 Color #15091	\$361.25	\$450.00	\$507.50	\$611.25	\$640.00	\$775.00
2 Color #15092	\$440.00	\$543.75	\$618.25	\$740.00	\$797.58	\$930.00

- Foldover Posters Easily Convert to Yard Signs by Folding on the Score

FOLDOVER SIGN HOLDERS

Size	New	Used
14x22	\$1.00 ea	NA
11x28	\$1.00 ea	\$0.80 ea

1/4 SHEET PERSONALIZED POSTCARDS (Cliffhanger Cards)

QUANTITY	1000	2000	3000	4000	5000
1 Color #14287	\$210.49	\$293.49	\$316.49	\$274.49	\$423.49
2 Color #14966	\$231.95	\$280.95	\$341.95	\$402.95	\$450.95

Size 4.25 x 5.5
White Coated or Uncoated Card Stock • Printed 2 Sides

Postcards require 216 postage as of May 14, 2010. On each card to mail individually with personal notes from door-to-door campaigning. Cards can be mailed at a slightly lower postage rate with pre-printed notes rather than personal notes. See other postage / mailing information on reverse side.

BUMPER STICKERS

Size: 11.5 X 3

QUANTITY	125	250	500	1000
1 Color #15083	\$156.25	\$197.50	\$270.00	\$343.75
2 Color #15094	\$237.50	\$281.25	\$350.00	\$468.75

Start Your Campaign with Us!

Bangor Letter Shop

COLOR COPY CENTER

Penobscot Plaza • 99 Washington Street
Bangor, Maine 04401-6518
Tel: (207) 945-9311 • Fax: (207) 942-9914
http://bangorlettershop.com • www.bangorlettershop.com

CAMPAIGN LAWN SIGNS

Singles 14" X 22" or 11" X 28"

QUANTITY	100	150	200	250	300	400
1 Color #15085	\$297.99	\$272.95	\$310.95	\$340.85	\$402.95	\$462.95
2 Color #15080	\$323.95	\$359.95	\$392.95	\$424.95	\$499.95	\$575.95

- Weather Resistant - Polyethylene Plastic Coated on Both Sides
- Clear, Sharp Screen Printing
- Positive or Reverse as No Extra Charge
- Extensive or Complex Artwork May Require an Art Charge
- Specify Horizontal or Vertical Position
- Heavy 24 Point White Stock

Foldover 22" X 28"

(Scoring charge included in pricing)

QUANTITY	100	150	200	250	300	400
1 Color #15081	\$375.49	\$469.49	\$527.49	\$635.49	\$665.49	\$806.49
2 Color #15092	\$457.49	\$565.49	\$640.49	\$769.49	\$829.49	\$967.49

- Foldover Posters Easily Convert to Yard Signs by Folding on the Score

FOLDOVER SIGN HOLDERS

Size	New
14x22	\$1.29 ea
11x28	\$1.49 ea

BUSINESS CARDS

Size: 3.5 x 2

#80 Uncoated or Glossy Cover Stock

1 SIDED

QUANTITY	500	1000	2000	5000
1 Color #15046	\$130.49	\$145.49	\$174.49	\$217.49
2 Color #15047	\$182.95	\$178.95	\$211.95	\$264.95

2 SIDED

QUANTITY	500	1000	2000	5000
1 Color #15048	\$165.49	\$184.49	\$222.49	\$259.49
2 Color #15049	\$199.95	\$217.95	\$251.95	\$299.95

BUMPER STICKERS

Size: 11.5 X 3

QUANTITY	125	250	500	1000
1 Color #15093	\$182.49	\$195.49	\$240.49	\$357.49
2 Color #15094	\$246.99	\$292.99	\$364.99	\$487.99

Start Your Campaign with Us!

Bangor Letter Shop

COLOR COPY CENTER

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Please see website for orders placed through June 6, 2010.



STATE OF MAINE
COMMISSION ON GOVERNMENTAL ETHICS
AND ELECTION PRACTICES
135 STATE HOUSE STATION
AUGUSTA, MAINE
04333-0135

February 11, 2011

Joseph and Michelle Greenier
104 Muskrat Farm Road
Stockton Springs, ME 04981

Dear Mr. and Mrs. Greenier:

This is in response to your complaint against 2010 Senate candidate Roger J. Katz, which was faxed to our office today. The Commission staff understands that you are accusing the Katz campaign of "serious violations."

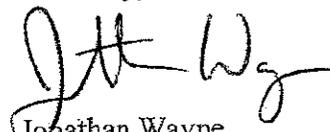
The complaint is missing two important elements:

- The complaint does not provide the Commission or Senator Katz with any idea of the violation which you believed occurred.
- The complaint does not provide the Commission or Senator Katz with any idea of the source of information or factual basis for believing that a violation occurred.

It is only fair that if you are filing a complaint against a candidate, you provide him or her with some idea of what the violation is and what is your basis for believing that there was a violation. This is also required by Chapter 1, Section 4(2)(C) of the Commission's Rules (attached). In the view of the Commission staff, the complaint contains "insufficient detail to specify the violation charged." Therefore, pursuant to Chapter 1, Section 4(2)(D), I am notifying you that your complaint does not meet the requirements for an official request for an investigation.

If you believe a violation occurred, please submit an amended complaint that specifies the law or requirement which you believe was violated and the basis for your belief. Then, the Commission staff will consider and recommend to the Commissioners whether there is any basis for an investigation. Thank you.

Sincerely,


Jonathan Wayne
Executive Director

cc: Hon. Roger J. Katz

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS

PHONE: (207) 287-4179

FAX: (207) 287-6775

2. Election Campaign Reporting and Maine Clean Election Act Violations

A. **Report Review.** The Commission staff will review all reports filed pursuant to 21-A M.R.S.A., chapters 13 and 14 to verify compliance with the reporting requirements set by statute or rule. Notice of any omission, error, or violation will be given by mail to the filer and a copy of the notice and any other communication made to or from the filer relating to the problem(s) will be placed in the filer's record. The Commission staff will establish a reasonable time period for the filer to remedy any omission or error. If the filer fails to respond within that time frame, the Commission staff may extend the time period within which the filer must comply or place the matter on the agenda of the next Commission meeting, along with all documents relating to the case. Additionally, any apparent violations or occurrences of substantial nonconformance with the requirements of the law will be placed on the agenda of the next meeting.

B. **Late Reports and Registrations.** Where required by statute, notice of failure to file a required report will be timely sent by Commission staff. When a report or registration is filed late, the Director's recommendations will be based on the following considerations:

- (1) Lateness of report or registration,
- (2) Reason for lateness,
- (3) Kind of report (more stringent application for pre-election reports),
- (4) Amount of campaign funds not properly reported,
- (5) Previous record of the filer,
- (6) Good faith effort of the filer to remedy the matter, and
- (7) Whether the late filing had an effect on a certified candidate's eligibility for matching funds.

C. Reports of noncompliance with the provisions of the campaign registration and reporting laws or the Maine Clean Election Act that may come to the attention of the Commission staff from any source other than review of the reports filed will be reported to the Commission Chair. Any person (as defined in 21-A M.R.S.A. §1001) may make an official request for a Commission investigation or determination by filing a written request at the Commission's office, setting forth such facts with sufficient details as are necessary to specify the alleged violation. Statements should be made upon personal knowledge. Statements which are not based upon personal knowledge must identify the source of the information which is the basis for the request, so that respondents and Commission staff may adequately respond to the request. A copy of any such written request will be promptly mailed to the candidate or organization alleged to have violated the statutory requirements. An official request will be placed on the agenda of the next Commission meeting.

D. An oral report of a violation, or a written request containing insufficient detail to specify the violation charged, does not constitute an official request for a

Commission determination, and a person registering such a complaint will be so notified.

- E. The signature of a person authorized to sign a report or form constitutes certification by that person of the completeness and accuracy of the information reported. The use of a password in filing an electronic report constitutes certification of the completeness and accuracy of the report.

3. **Lobbyist Disclosure Procedures**

- A. **Report Review.** The Commission staff will monitor all filings made pursuant to 3 M.R.S.A. §311 *et seq.* for timeliness, legibility, and completeness. The staff will send the lobbyist a notice of any apparent reporting deficiency, including failure to use prescribed forms. The notice will include a request that the deficiency be corrected within 15 business days of the notice. If remedy is not made, it will be noted on the agenda of the next Commission meeting. The Commission may reject reports that are incomplete or illegible.
- B. **Late Registrations and Reports.** Notice will be given by mail to any lobbyist whose registration, monthly disclosure report, or annual report is delinquent. In the case of a late monthly report, the notice must be mailed within 7 business days following the filing deadline for the report. In the case of late annual reports and registrations, the notice must be mailed within 15 business days following the filing deadline. The notice must include a statement specifying the amount assessed. A penalty of \$100 will be assessed the lobbyist for every month that a monthly disclosure report is late and a penalty of \$200 will be assessed the lobbyist and employer for every month a registration or annual report is filed late. For purposes of 3 M.R.S.A. §319(1), the month will end on the 15th day of the month following the month in which a report was due. Any failure to submit a required report, registration, or penalty fee will be noted on the Commission agenda.
- C. **Suspensions.** The Commission may suspend any person from lobbying who fails to file a required report or pay an assessed fee. A notice of the suspension must be mailed to the lobbyist by U.S. Certified Mail within three days following the suspension. Reinstatement will occur on the date the required report or payment is received in the Commission office. A notice of the reinstatement must be mailed to the lobbyist by U.S. Certified Mail or given directly to the lobbyist within three days following receipt of the required report or payment.
- D. **Request for Penalty Waiver.** A lobbyist may request a waiver of any late penalty the lobbyist incurs. The request must be made in writing to the Commission and must state the reason for the delinquency. Any such request must be noted on the agenda of the next Commission meeting. Only the Commission may grant penalty waivers.



STATE OF MAINE
COMMISSION ON GOVERNMENTAL ETHICS
AND ELECTION PRACTICES
135 STATE HOUSE STATION
AUGUSTA, MAINE
04333-0135

March 2, 2011

By Fax and Regular Mail

Joseph and Michelle Greenier
104 Muskrat Farm Road
Stockton Springs, ME 04981

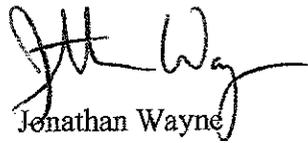
Dear Mr. and Mrs. Greenier:

The Commission staff has gathered preliminary factual information concerning the allegations in your February 10, 14, and 17 letters about a purchase by the 2010 Katz campaign from Modern Screen Print.

This matter will be placed on the next meeting of the Commission, which will be Thursday, March 31 at 9:00 a.m. The meeting will be held at the Commission's office at 45 Memorial Circle.

Your letter of last night concerning your Freedom of Access Act request suggests that you are continuing to gather information which you believe is relevant. **If you have any additional information that you wish the Commission to consider, I need to receive it no later than Thursday, March 10, 2011.** Otherwise, it will not be considered by the Commissioners at their March 31 meeting.

Sincerely,


Jonathan Wayne
Executive Director

cp

cc: Hon. Roger J. Katz



STATE OF MAINE
COMMISSION ON GOVERNMENTAL ETHICS
AND ELECTION PRACTICES
135 STATE HOUSE STATION
AUGUSTA, MAINE
04333-0135

ADDITIONAL MATERIALS

Item # 9

March 31, 2011

March 25, 2011

Joseph and Michele Greenier
104 Muskrat Farm Road
Stockton Springs, ME 04981

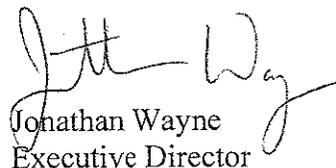
Dear Mr. and Mrs. Greenier:

Thank you for your letter received last night by fax. Assistant Director Paul Lavin usually responds to requests made under the Freedom of Access Act (FOAA). My understanding from Commission Assistant Cyndi Phillips is that you and your daughter photocopied the complete 2010 candidate file for Roger Katz, and that Ms. Phillips copied for you the most recent sources of income statement. The candidate file includes the Receipt and Acknowledgement forms that Mr. Katz submitted as part of his application for Maine Clean Election Act funding. As Mr. Lavin has responded to you previously in writing, I did not prepare written questions for the four interviews that I conducted. The Commission staff has gathered the preliminary factual information that we believe is appropriate, based on your February 11, 2011 letter and subsequent correspondence. We have already provided to you all of records you have requested that we possess.

I am writing to confirm that your request for an investigation of Roger Katz's 2010 campaign has been scheduled for the March 31 meeting of the Ethics Commission. (We sent a form notice to you two days ago on March 23 with the agenda.) Your request has been scheduled as item #9. I expect that the Commissioners will decide whether any further investigation should be conducted. The materials relating to that item, including all of your correspondence, are posted at www.maine.gov/ethics/meetings/2011. The Commission staff will conduct any further investigation directed by the Commission.

If you have any questions, please telephone me at 287-4179.

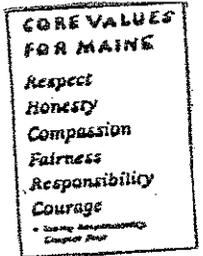
Sincerely,


Jonathan Wayne
Executive Director

cp

cc: Senator Roger J. Katz

104 Muskrat Rd.
Stockton Springs, ME 04981
March 25, 2011.



By fax: 1-207-287-6775
and hand-delivered

State of Maine
Commission on Governmental Ethics
and Election Practices
135 State House Station
Augusta, ME 04333-0135

REC'D
MAR 25 2011
Maine Ethics Commission

FAX REC'D
3/25/11

Dear Mr. Franklin Jonathan Wayne,

For better clarification of our FOIA request from our fax yesterday, there was information that was apparently left out, that we are requesting. There was a paper on the desk that was stamped in on February 23rd, that Cindy moved off the desk, because Mr. Greenier saw our names on it. He knows that it was not included in the paperwork we received, under our FOIA request. Also, in your December 22nd letter to Senator Katz, at his law firm, you state that a volunteer bought the signs. If you claim a volunteer bought the signs, where is your proof? Please provide your written proof. Please find a portion of that letter below. We are requesting the above items, as part of our FOIA request. We will pick these up this afternoon. Thank you.



STATE OF MAINE
COMMISSION ON GOVERNMENTAL ETHICS
AND ELECTION PRACTICES
135 STATE HOUSE STATION
AUGUSTA, MAINE
04333-0135

December 22, 2010

Concerned Citizens,
Joseph Greenier
Michelle Greenier

Hon. Roger J. Katz
Lipman Katz & McKee
P.O. Box 1051
Augusta, ME 04332-1051

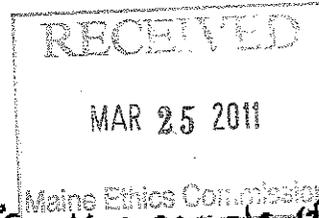
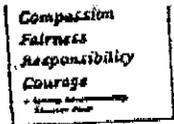
Dear Senator Katz:

Thank you for your November 11, 2010 letter concerning the expenditures for your campaign for State Senate. In the letter, you explained that you did not initially receive a bill from Modern Screen Print in the amount of \$1,245.00 for signs that a campaign volunteer bought in September 2010. After spending most of your campaign funds, the campaign was contacted on November 5, 2010 about the unpaid bill. After receiving advice from Candidate Registrar Gavin O'Brien, you used \$161.80 in unspent Maine Clean Election Act funds to partially satisfy the debt, and paid the remaining amount of the bill (\$1,083.13) with personal funds. Based on your letter and a review of your final campaign finance report, the staff of the Ethics Commission has made a preliminary finding that your 2010 campaign spent \$1,083.13 more than was permitted under the Maine Clean Election Act.

March 31, 2011

By fax: 1-207-287-6775

State of Maine
 Commission on Governmental Ethics
 and Election Practices
 135 State House Station
 Augusta, ME 04333-0135



Dear Mr. Franklin Jonathan Wayne,

As Concerned Citizens and for the people of Maine, we are requesting full disclosure under the Freedom of Information Act (FOIA) and requesting protection under the Whistleblowers Act, regarding the commissions investigation of candidate Roger J. Katz. The Commission has not fully honored our request for all of the records requested in our February 17, 2011 FOIA request. In the commissions investigation, Mr. Wayne, you have demanded our proof in writing, but where is the commissions proof, in writing? This is our second separate request for FOIA for 100% of the entire investigation.

We know there is a lot missing from our FOIA request, including candidate Katz's \$5.00 donation; sheets, source of income for candidate and legislator, phone messages, etc. We are requesting invoices from Modern Screenprint for signs ordered and picked up by Buddy Doyle on May 3, 2010 and September 23, 2010. There is no proof in the files of the cancelled checks to Modern Screenprint, which is normal for every other case and copy of letter confirming when signs were paid for. We are requesting copies of all of the checks to Modern Screenprint for \$890.00, \$1083.13 and \$161.87. Copies of these checks must be part of the record for the March 31st meeting, as you have done in previous cases. The Commission must provide full disclosure regarding proof of cancelled checks and both invoices, as it's the public's right to know. In the commissions investigation of the Katz's campaign, the Commission has refused to provide full disclosure. There is no factual proof in your January 19, 2011 memo, which is usually the basic disclosure from day one in most cases.

Please refer to the Bangor Daily News article enclosed for your review on March 3, 2011, "Group appeals campaign donor ruling". If the Commission must conduct an investigation for an out-of-state group, then you must investigate for a candidate who used MCE Funds and admitted overspending. You are quoted in this article. If it's public's right to know for this group, then Maine people have a right to know, to make sure this never happens again. Mr. Wayne you have refused to disclose questions you asked and conversations Mr. Greener had on February 4th with Paul Lavin and February 10th with Gavin O'Brien. It's time for full disclosure.

Concerned Citizens,
 Joseph Greener
 Michelle Greener

Printed and began showing our material to Mr. [redacted] Thursday March 3, 2011, Bangor Daily News

Donor

Continued from Page B1

that might want to get involved in a ballot campaign," Nealey said. Jonathan Wayne, executive director of the ethics commission, said he was pleased that the state's disclosure laws pertaining to ballot committees stood up to scrutiny. "It tells the public know who's influencing them when they vote on ballot questions," he said.

Already pending before the Boston appeals court is a separate appeal brought by NOM of election law governing political action committees, independent campaign contributions and other attribution and disclaimer elements required by Maine's election laws.

In that case, Hornby upheld most of Maine's reporting regulations applying to political action committees. But he agreed with NOM that a state regulation requiring 24-hour disclosure of any independent expenditures over \$250 is unconstitutionally burdensome.

NOM opposes same-sex marriage and has been involved in campaigns in Maine and other states. Maine voters repealed the state's same-sex marriage law in 2009.

Group appeals campaign donor ruling

National Organization for Marriage bucking at Maine's finance disclosure law

BY DAVID SHARP
THE ASSOCIATED PRESS

PORTLAND — A national group that opposes gay marriage is appealing a federal judge's decision to uphold Maine's campaign finance disclosure law that could force it to reveal its list of donors.

Lawyers for the National Organization for Marriage filed their notice of appeal with the 1st U.S. Circuit Court of Appeals in Boston,

which already is considering another constitutional challenge of Maine's campaign finance law by the Virginia-based organization. The National Organization for Marriage, or NOM, sued after the state ethics commission found that it could be required to disclose the identities of its donors.

Last month, U.S. District Judge D. Brock Hornby granted a summary judgment upholding Maine's campaign disclosure laws as they per-

tain to ballot committees.

Maine law says groups that raise or spend more than \$5,000 to influence elections must register with the state and disclose their donors. NOM donated \$1.9 million to Stand for Marriage Maine, a political action committee that helped repeal Maine's same-sex marriage law.

The Maine Commission on Governmental Ethics and Election Practices still must conduct an investigation to determine whether NOM

must turn over its donor list, the disclosure of which NOM feels would stymie free speech, said Josiah Nealey, an Indiana-based lawyer for NOM.

"Our view is even the investigation, or the possibility that these requirements would be enforced, creates a chilling effect on the First Amendment rights, not only of the National Organization for Marriage, but of other political groups

See Donor, Page B4

To: Commissioners
From: Joseph & Michele Greenier
For: April 26, 2011
Re: Overspending by Candidate Roger J. Katz.

Item # 10
Hand Out

As Concerned Citizens and for the people of Maine, we are submitting our findings, under the protection of the Whistleblowers Act and under the Americans with Disabilities Act (ADA). The source of our information is direct conversations with Paul Lavin, Gavin O'Brien, Franklin Jonathan Wayne, Edmund F. Doyle (Buddy Doyle), Kathy & Tim from Modern Screenprint, information we requested under Freedom of Information Act (FOIA) and 2010 Campaign Finance Reports. The Ethics Commission has not provided all of the records that we have requested under FOIA. This case goes against our religious convictions, as pilgrims of Medugojie. The enclosed responses are due to Mr. Wayne's letter dated February 11, 2011, regarding violations and source of information.

Our Findings: Direct conversations with those involved.

On January 27, 2011, at the Ethics Commission meeting Mr. Greenier objected to the \$50.00 penalty for violations by candidate Roger J. Katz. After reviewing Agenda Item #9 and Exhibit A (Invoice from Modern Screenprint), we had many questions and concerns. We were totally unprepared for what we learned about Exhibit A.

- ① There was no sales tax on Invoice 0.00
- ② Terms: Due on receipt
- ③ Ship VIA: Pick-Up
- ④ The Invoice was not signed above the Received by line.
- ⑤ Sales Tax is charged until a valid Maine Resale Certificate is received.
- ⑥ A 1.5% Service Charge Per Month Will Be Added On All Balances Remaining After 30 Days (18% A.P.R.)

On February 4, 2011, Mr. Greenier went to Modern Screenprint in Bangor, ME, to ask some questions about the Invoice (Exhibit A). Mr. Greenier was not prepared for the information that he received from Kathy at MSP. According to conversation with Kathy she confirmed the following:

- ① No sales taxes were paid.
- ② The signs were purchased through Buddy Doyle's printing company
- ③ When asked if done through a "volunteer", she had no knowledge of that, she said, "I have no idea."

CORE VALUES
FOR MAINE

Respect
Honesty
Compassion
Fairness
Responsibility
Courage
- Taking Responsibility
- Chapter Four

- ④ Buddy Doyle ordered signs on September 17th and he physically picked up signs on September 23rd, with Invoice.
- ⑤ Kathy was given direct orders from Buddy Doyle not to contact the campaign, only him.
- ⑥ The first set of signs were ordered April 28th and picked up May 3rd.
- ⑦ Kathy couldn't answer all of Mr. Greenier's questions, so she referred Mr. Greenier to Buddy Doyle, 18 Vine Street, Gardiner, ME
- ⑧ This was about a 20 minute conversation.

Due to this troubling information, Mr. Greenier went straight from Modern Screenprint in Bangor, to Augusta and Gardiner, to go straight to the sources of Buddy Doyle and the Ethics Commission. Mr. Greenier first stopped at the Capital, to get directions and a map of Gardiner. Then he went to Gardiner, to find Buddy Doyle's printing company. Mr. Greenier was shocked to find a residence, not a printing company. Buddy Doyle was not home, so Mr. Greenier left a business card, with a note, from his previous Senate race and asked to call him. In the garage, Mr. Greenier saw real estate signs, so he wrote down the numbers, so he could contact Buddy Doyle.

From Buddy Doyle's residence, Mr. Greenier went to the Ethics Commission, to personally inform the commission of his findings. Mr. Greenier talked directly to Paul Lavin

- ① Paul Lavin said he didn't have much time.
- ② Mr. Greenier told as much as he had just learned from Modern screenprint. The signs were ordered April 28th, picked-up May 3rd. The second set of signs were ordered September 17th and picked up September 23rd.
- ③ Mr. Greenier went to look at Roger Katz's file and there wasn't much there, except \$5.00 donation sheets, essentially the file was empty.
- ④ Buddy Doyle is a printer, ordering signs for the campaign, as a vendor.
- ⑤ Mr. Greenier brought up G&E Roofing, Paul Lavin said it should have been worded differently.
- ⑥ Buddy Doyle gave direct orders to MSP, not to contact the campaign, only him.
- ⑦ Paul Lavin didn't seem to care about what Mr. Greenier was telling him.

- ⑧ Paul Lavin spent more time trying to convince Mr. Greenier, it was an oversight.
- ⑨ Mr. Greenier told Paul Lavin several times what he had found out that day from Modern Screenprint.
- ⑩ Paul Lavin verbally defended Roger Katz and his campaign.
- ⑪ Paul Lavin received plenty of information, to investigate this case.

The next day, February 5th, Mr. Greenier expected a call from Buddy Doyle. About 5:15pm, Mr. Greenier called Buddy Doyle, because he had refused to call Mr. Greenier back. His wife Geri answered the phone. Mr. Greenier asked if Buddy was around. She said "Yeah". The conversation with Buddy Doyle is as follows: At no time did Buddy Doyle say he was a volunteer.

- ① Buddy Doyle answered the phone and said, "Hi Sue".
- ② Mr. Greenier asked Buddy Doyle about signs regarding the Senate race he was involved in.
- ③ Buddy Doyle admitted that he designed signs, literature, mailers and so forth.
- ④ Buddy Doyle ordered and picked up signs at Modern Screenprint.
- ⑤ Buddy Doyle was hired by Mr. Katz, to work on his campaign.
- ⑥ When questioned he was hired by the campaign?
- ⑦ Buddy responded, "yes, then no", He claimed he donated his time and did it as a favor to Roger.
- ⑧ Buddy Doyle called Tim McLeod at Modern Screenprint, because he is a reputable supplier of signs and were paid by the campaign.
- ⑨ Buddy Doyle referred Mr. Greenier to ask questions to Senator Katz and offered his phone number
- ⑩ Before the end of the conversation, Mr. Greenier referred to the fact that he ordered the signs through his printing company and he hung up and there was dial tone. This was about a six minute conversation.

On February 10th, Mr. Greenier called the Ethics Commission, to inform Gavin O'Brien about his findings. He informed Gavin O'Brien that he had a conversation last week with Paul Lavin about candidate Katz. Gavin O'Brien responded "We can take a look at it," Mr. Greenier told Gavin O'Brien the following:

- ① Mr. Greenier took the Modern Screenprint Invoice to Bangor, to ask questions.
- ② After Mr. Greenier left Modern Screenprint, Mr. Greenier went to Augusta and Gardiner and then he went to the Commission, regarding what Mr. Greenier found out about the Invoice.
- ③ The first set of signs were ordered April 28th, the second set of signs were ordered September 7th and picked up September 23rd.
- ④ Mr. Greenier explained that he can rebut a lot of what Mr. Wayne and candidate has to say.
- ⑤ On Saturday, Mr. Greenier had a six minute conversation with Buddy Doyle. He referred Mr. Greenier to the candidate.
- ⑥ Mr. Greenier asked Gavin O'Brien, "Have you talked to Buddy Doyle and Modern Screenprint?" The response was "No" Gavin O'Brien said "They relied on what we heard from Roger Katz only."
- ⑦ Kathy informed Mr. Greenier that they got the invoice
- ⑧ MSP got direct orders not to deal with the campaign, only, Buddy Doyle.
- ⑨ Kathy says he's not a volunteer - printing company.
- ⑩ Mr. Greenier told Gavin O'Brien that things were sent to the law firm - not the campaign office or his house. The correspondence is not through candidate, but the law firm, the chair and partner. Anything through the law firm opens up for conflicts of interests. Could be more involvement, Instead of correspondence to individuals address - sent to the law firm. Mr. Greenier said, "I don't think that should have happened as a lawyer - not a candidate." This disturbs Mr. Greenier. It sheds a negative light - should be more transparent.

On February 22, 2011, as a family, we went to Modern Screenprint, to ask more questions. We talked to Kathy.

- ① We asked the name of Buddy Doyle's printing company, she had no idea.
- ② We asked if Buddy Doyle signed the Invoice. The response was "no".
- ③ Kathy told us no sales taxes were paid on either Invoice.

- ④ We asked if she had a Resale Certificate for Buddy Doyle? Kathy said "not on file."
- ⑤ We asked about the May order for signs. Kathy told us signs were picked up May 3rd, with Invoice. The signs were ordered, April 28th. The signs were paid for June 16th.
- ⑥ We asked if Ethics Commission contacted her. Kathy said, "yes, today by John Wayne."
- ⑦ Kathy told us second set of signs were paid for on January 11, 2011, with two separate checks.

On March 30, 2011, as a family, we went to Modern Screenprint. We mainly talked to Tim, with some assistance from Kathy. We went to inform them about the Ethics Commission, regarding the signs and that they didn't do anything wrong. We asked some more questions about the signs. We want to make sure company's are paid on time, so this doesn't happen again.

- ① We asked Tim, the name of Buddy Doyle's Company. Tim didn't know.
- ② We asked about signs for mayor's race, Tim didn't know; six to eight years, archived.
- ③ We asked for the check # of May 3rd order for signs, paid on June 16th. The check # is 1015.
- ④ We asked for the check #'s for signs ordered on September 7th and picked up on September 23rd, were as follows:
 - Ⓐ The check # 1050 was for \$161.87.
 - Ⓑ The check # 116 was for \$1,083.13 (personal check from Mr. KATZ.
- ⑤ The signs were paid on January 11, 2011.
- ⑥ We informed Tim and Kathy, that they had to wait 111 days, to be paid for signs from September 23rd. They acknowledged this was a long time
- ⑦ We told them that they were owed interest, otherwise it is considered an in-kind contribution. Through the Ethics Commission. We explained a lot about Clean Elections, to inform them about the process.

Our Findings (Conclusions from direct conversations)

- ① Buddy Doyle, a friend of the candidate was hired by Roger Katz, to work on his campaign.
- ② Buddy Doyle is not a "volunteer". Buddy Doyle is a vendor, who owns a printing company. Buddy Doyle purchased signs wholesale, with no sales taxes, in this campaign.
- ③ Modern Screenprint didn't have the name of Buddy Doyle's company or Resale Certificate. Kathy provided the address of 18 Vine Street, which Mr. Greenier thought was his printing company. Mr. Greenier went to talk to Buddy Doyle at his printing company. Mr. Greenier was shocked that the address was a residence.
- ④ According to Kathy at Modern Screenprint, the signs were ordered April 28th, picked up May 3rd, with an invoice. The second set of signs were ordered September 7th and picked up September 23rd, with an invoice. All signs were picked up by Buddy Doyle.
- ⑤ According to Kathy, Buddy Doyle gave direct orders, not to contact the campaign, only him. Re: Roger Katz letter, Nov. 11th. Kathy contacted Buddy, not the campaign. This is a deliberate action.
- ⑥ Buddy Doyle got a discount, through his printing company, Buddy Doyle designed the signs, because he is a vendor, not a volunteer.
- ⑦ In conclusion, by paying for signs picked up May 3rd and paid for June 16 (the campaign reports say July 12th) the signs were paid for 44 days late. These signs were ordered April 28th (not on campaign report as expenditure on that date). The second set of signs ordered September 7th and picked up September 23rd were not paid for until January 11, 2011, which were 111 days late. (A portion of these signs has not been reported as an expenditure under section B in any report for the amount of \$1,083.13.) The total amount of days late is 44 days plus 111 days = 155 days, which we allege is an in-kind contribution, which violates the MCE Act, See Exhibit 1 (Chapter 7-2010 Candidate Guide - p.51-p.52). Also, we contend that Buddy Doyle's name was on invoices, which is why he didn't want to give the invoices, to the campaign. Please subpoena the invoices from the mayors race from MSP and we allege you'll find Buddy Doyle's name



CHAPTER 7

Prohibition on Accepting Contributions

Definition of Contribution

The term "contribution" is defined in the Election Law to include: "A gift, subscription, loan, advance or deposit of money or anything of value made for the purpose of influencing the nomination or election of any person to state, county or municipal office or for the purpose of liquidating any campaign deficit of a candidate . . ." For further explanation of what is a contribution, please refer to 21-A M.R.S.A. §1012(2) (copied in the Appendix to this Guidebook) and Chapter 1, Section 6 of the Commission's Rules.

Once certified, MCEA candidates are prohibited from accepting any contributions - cash or in-kind. It is important that candidates understand what constitutes an in-kind contribution, because accepting a contribution is a violation of the MCEA.

Paying for Goods and Services with Personal Funds

If the campaign accepts a cash contribution, it must be returned. If the contribution was inadvertently deposited into the campaign bank account, the funds must be withdrawn and returned to the contributor.

Once you have been certified as an MCEA candidate, your campaign may not accept cash contributions from any source. You are not permitted to contribute cash or to make a loan to your campaign. You or your supporters are allowed to purchase goods and services with personal funds or a credit card, provided that the campaign reimburses you or your supporter in the same reporting period in which the purchase was made.

In-Kind Contributions

In-kind contributions are goods or services that are provided to the campaign at no cost or at a cost that is less than the usual and customary charge. The Commission recommends that MCEA candidates who



receive an in-kind contribution contact the Commission staff promptly to receive guidance on how to rectify the situation. The staff will likely advise that the campaign should reimburse the provider of the goods and services immediately with MCEA funds.

Please call the Commission at 287-4179 if you have questions about in-kind contributions.

The following activities are examples of in-kind contributions:

- the candidate purchases campaign signs and is not reimbursed by the campaign;
- a supporter of a candidate pays for some of the candidate's advertising in a community newspaper and is not reimbursed by the campaign;
- a friend of a candidate who owns a copy shop provides the campaign with a discount on printing services;
- a volunteer who is making signs for a candidate buys plywood and paint and is not reimbursed by the campaign; and
- the owner of a local business provides the campaign, free of charge, some of his paid staff members to work for the campaign on company time.

Exempt Goods and Services

Certain goods and services are excluded from the legal definition of "contribution." The campaign's receipt of these goods and services is not an in-kind contribution. Candidates and treasurers are encouraged to familiarize themselves with these "exempt" goods and services. They are listed in the Appendix of this Guidebook. Some examples of exempt goods and services are:

- a trade association, commercial business, or labor union may donate office space or office equipment to a campaign, provided that there is no additional cost;
- an individual may volunteer his services to a campaign at no charge (including professional services such as legal advice, assistance with databases, and web and graphic design) as long as the individual is not being compensated by an employer for providing the services; and
- each volunteer may pay up to \$100 cumulatively in each election (primary or general) toward the cost of food, beverages, and invitations in the course of volunteering for a campaign (e.g., when volunteering at a house party or a campaign event, a campaign supporter may buy up to \$100 in food).

2010 Campaign Finance Reports
 Roger Katz Campaign
 All reports were filed by Roger Katz

11-Day Pre-Primary (Filed 2X's)

1. Filed 5/27/10! No Schedule B
Schedule B: should have been reported on April 28th, for signs ordered from MSP and picked up on May 3rd for \$890.00
Schedule D: the signs were reported under unpaid debts for \$890.00
2. On 4/27/10, MCEA Initial Payment of \$1,902.42, so Roger Katz had clean elections funds, to pay for
3. Amendment: Filed: 12/10/10
Schedule B: Expenditure dated: 5/25/10, City of Augusta Voter List \$30.00. This expenditure was reported after the election was over. How can the candidate and Treasurer find expenditure, after the campaign is over? We question was the Treasurer actively involved in the campaign?

42-Day Post Primary (Filed 3X'S)

1. Filed: 7/19/10 No Scheduled D
Schedule B: Expenditure dated: 7/12/10, Modern Screenprint, \$890.00
 According to Kathy, signs were paid on June 16th. The signs were paid for 44 days after they were picked up. We allege the expenditure date of 7/12/10 is an error. By filing an incorrect date for payment of signs, this is considered a false report.
 *The signs were used for free during the primary, without payment. The signs were paid after the June 8th primary, on June 16th.
2. Amendment: Filed: 11/22/10
 - a. The payee of Target and Sam's Club are added, for public disclosure
 - b. The date of July 12th for payment of signs is unchanged in this report. The correct date is June 16th, for expenditure of \$890.00 (MSP)

42-Day Post Primary (cont)

3. Amendment: Filed 12/16/10
Schedule B: Expenditure date of June 16th is still not corrected for MSP, \$890.00. There should be proof of Invoices and cancelled checks that the signs were paid on June 16th, not July 12th.

42-Day Pre-General: Filed (2X'S)

1. Filed: 9/21/10 No Schedule D
2. Amendment: Filed 12/16/10 No Schedule D
3. Schedule B: The second set of signs ordered September 7th from Modern Screenprint is not reported in amount of \$1,245.00
 *If the signs were reported when they were first ordered on September 7th, it would avoid the issue of overspending in this campaign. The first obligation to report under Schedule B is when signs were first ordered
4. In Roger Katz's letter dated, November 11 he admits "approximately \$1,00 over my spending limit."
5. On November 8th, he admits getting an Invoice, but he has not corrected Schedule B, in this Amendment.
6. Schedule B: Expenditure of \$1,245.00 was not reported on September 7th, the first obligation for the signs.

CORE VALUES
 FOR MAINE
 Respect
 Honesty
 Compassion
 Fairness
 Responsibility
 Courage
 Taking responsibility
 Chapter four.

2010 Campaign Finance Reports
Roger Katz Campaign (cont)

11-Day Pre-General: (Filed 4's)

1. Filed: 10/20/10

Schedule B Expenditures - no reporting of \$1,245.00 for signs from Modern Screenprint

Schedule D: Unpaid debts - no reporting of \$1,245.00 for signs from Modern Screenprint

* Schedule B: 10/31/10 US Postal Service #11880

2. Amendments: Filed: 12/8/10, 12/16/10, and 1/13/11

Schedule B Expenditures and Schedule D Unpaid Debts are not reported for September 23rd order of signs from Modern Screenprint. The dates of this reporting period is: 9/15/10 - 10/19/10.

* On November 11th, Roger Katz writes a letter to Mr. Wayne, regarding overspending in his campaign. Roger Katz admits in this letter that he received an Invoice on Monday, November 8th, 2010. On 12/8/10, 12/16/10 and 1/13/11, Roger Katz files Amendments, but we allege he refused to report the Expenditures under Schedule B and Unpaid Debts under Schedule D. We allege this is a deliberate act of non-reporting from his campaign.

In this letter, November 11th from Roger Katz, it states, "On direction of Mr. O'Brien, I will be paying the Modern Screen Print bill as follows:

► A portion representing the remaining campaign funds I have, and

► The balance to be paid by me personally."

According to Kathy at Modern Screenprint, the signs were not paid until January 11, 2011. This is two months after Gavin O'Brien gave directions, to pay for the signs. We allege this is a deliberate act.

* In this campaign, the signs in the primary and general election were used for free. The signs were not paid for until after the primary and the general election. We allege this is unfair to the opponent, who had to pay for signs during the campaign.

3. Amendment: Filed: 12/8/10
Schedule B: Expenditure dated, 10/3/10 US Postal Service for \$118.80, is removed from report. An expenditure is reported through an invoice or receipt and backed up through the checkbook and a cancelled check as proof.

In our FOIA request, there is a reference to an email dated, December 7th at 1:40pm from Mr. Wayne to 'rkatz@lipmarkatz-mckee.com' and cc to Kevin Johnson. The e-mail states, "with respect to the \$118.88 payment which was reported in October but did not in fact happen, I have asked Candidate Registrar Kevin Johnson to delete it from your report. You'll receive a confirming e-mail from him when he's completed that."
See Exhibit 2 (Email: 12/7/10)

The public has no knowledge why this expenditure was deleted from Schedule B, which. ②

2010 Campaign Finance Reports
Roger Katz Campaign (cont)

3 (Cont)

is that the U.S. Postal Service is closed on Sunday, 10/31/10. When this expenditure was removed from the campaign finance report, we contend it should have been reported, under the Certification section, so the public is informed that the expenditure is deleted from report and an explanation why.

24-Hour Report of Contributions and Expenditures 2010 Campaign Year

1. Filed: 10/28/10
2. There are no amendments with this report.

42-Day Post-General

1. Filed: 12/10/10

Schedule B: Expenditures

This is the first report to document the signs purchased from Modern Screenprint on 9/23/10. The amount reported is \$161.87, despite fact that the total expenditure was \$1,245.00. The balance of the signs of \$1,083.13 was not reported. On the report, it states date of expenditure is 12/6/10, which is not accurate. The signs were purchased 9/23/10.

Schedule D: Unpaid debts

It is not reported the amount of \$1,083.13. The signs were not paid for until January 11, 2011, according to Kathy at Modern Screenprint.

2. Amendment: Filed: 12/16/10
Schedule B: Expenditure
This report has not been corrected

2 Amendment (cont)

The date of expenditure is 12/6/10 for Modern Screenprint for \$161.87. The balance of \$1,083.13 is not corrected.

Schedule D: Unpaid debts
The \$1,083.13 is not reported.

3. Amendment: Filed 1/13/11

Schedule B: The date of expenditure is unchanged. It is still 12/6/10. The date of the expenditure should be when signs ordered September 7th. The signs were picked up September 23rd. The balance of the signs for \$1,083.13 is still not reported, despite two amendments. According to Kathy at Modern Screenprint, the signs were paid for in two checks.

- ① \$161.87 Clean Elections funds
- ② \$1,083.13 Roger Katz's personal funds.

* This report was filed after he paid for the signs.

There is no acknowledgement or proof in this final campaign finance report, under Certification, that Roger Katz overspent clean elections money, for campaign signs in amount of \$1,083.13. The public has a right to know, since the people finance Clean elections.

(3)

2010 Campaign Finance Reports
Roger Katz Campaign

Our Findings: Conclusions from Campaign Finance Reports.

According to Chapter 1 of the 2010 Candidate Guide, it states "Your treasurer should be actively involved with your campaign, since you and your treasurer are both legally responsible for accurate reporting and recordkeeping." In this campaign, according to the Candidate Registration there is a treasurer and deputy treasurer.

In Mr. Wayne's preliminary investigation dated, January 19th, 2011, he submitted 21-A MRSA §1127 Violations and MRS Title 21-A §1125 Terms of Participation (p.5) & #6 Restrictions on contributions and expenditures for certified candidates. On March 21, 2010 (should be 2011), Mr. Wayne submits paperwork titled Re: Request by Joseph and Michele Greenier. In that, the Violations and #6 have been deleted. We are requesting them to be put back into this case, since they are part of the record for Agenda Item #9 (11/19/11). See Exhibit

Also as part of the record we are submitting the 2010 Candidate Registration. Under the Designation of Treasurer it states "The treasurer is responsible for maintaining campaign records and filing reports. (21-A MRSA §§1013-A and 1125(12-A)). Please include this law in this case. See Exhibit #5 (2010 Candidate Registration)

In this campaign, there have been six reports filed on time and nine amendments, for a total of fifteen reports. Despite the numerous amendments, the reports are still not accurate, late, with substantial misreporting and material false statements. We allege the following rules are applicable to this campaign as follows:

- ① 94-270 Chapter 1 page 7 Late Reports and Registration
The evidence is nine amendments filed and there are reports that are still not accurate. See Exhibit #6
- ② 94-270 Chapter 1 page 12 Section 7 Expenditures
3 Timing of Reporting Expenditures A, B & C. See Exhibit #7
- ③ 94-270 Chapter 3 page 13 Section 6 and Section 7
6. Limitations on Campaign Expenses and 7. Recordkeeping and Reporting 1. See Exhibit #8

2010 Campaign Finance Reports
Roger Katz Campaign

In this campaign, we allege there has been violation of the Act, which has already been confirmed by Mr. Wayne first preliminary investigation, dated 1/19/11. We are requesting the following sections of the Act:

① Title 21-A, Chap 13 Campaign Reports & Finance Law (2010), 21A §1004 Violations 2 False Statements (page 3)
See Exhibit #9

② Title 21-A Chap 13 Campaign Reports & Finance Law (2010) (page 3 & 4) 21A §1004-A Penalties 1, 4, 5
1. Late campaign finance report (amendments late)
4. Substantial misreporting
5. Material false statements

Also, please include 21A §1004-B Enforcement of Penalties assessed by the Commission See Exhibit 9 and 10.

Due to the substantial amount of misreporting and errors in the campaign finance reports, we allege that the treasurer was not actively involved in this campaign. We allege that since Roger Katz reported his overspending to the commission, there has been no involvement of the treasurer in this investigation. There are no letters or emails to William P. Browne, in the Commission files or in an FOIA request. We request Mr. Wayne to talk to all those involved in this campaign from treasurer, deputy treasurer, etc. As proof, Mr. Wayne has never interviewed the Treasurer William P. Browne and the Deputy Treasurer, Michael McKenney. It appears, according to the records that this campaign involved Roger Katz and his so called "volunteer" who is a vendor, with a printing company, who was hired by Roger Katz. According to Buddy Doyle, he was hired by Roger Katz. In the campaign finance reports there isn't an expenditure under Buddy Doyle's name. From Mr. Wayne's interviews Buddy Doyle did a lot of traveling with Roger Katz and was very involved in purchasing signs, literature, mailers, etc. We question how was Buddy Doyle paid to design the signs for

2010 Campaign Finance Reports
Roger Katz Campaign

the Katz Campaign? In the Brian Rines Campaign, Buddy Doyle's name appears in the Ethics Commission reports under an expenditure, but not in this campaign. Please could you look into this matter?

In this campaign, there are no travel expenditures. From an experience in an Senate race we reported travel expenditures and a travel log. We know that Buddy Doyle made at least two trips to Bangor, to Modern Screenprint, to order and pick up signs in the primary (April 28th and May 3rd) and at least one trip to pick up signs on September 23rd. It is approximately 90-100 miles one way from Gardiner, ME to Bangor, ME @ .44.

It would be approximately 600 miles @ .44 = 264.00, for signs in primary and general election, plus driving around with Roger Katz (included in interview with Mr. Wayne on 2/18/11.). The other major travel expenditure is putting up 300 signs in the primary, putting signs up and taking them down. Also, in the general election putting up 800 signs and taking them down. We know that this is very labor intensive, because we put up our signs as a family and we took down the signs, as a family. There are no travel expenses for these type of activities, in this campaign. If there was travel in this campaign, these expenditures were not reported.

From reviewing the campaign finance reports we have found substantiated misreporting, in this campaign. We are requesting this Commission to enforce all applicable rules and laws and any that we have not included, which apply to this campaign, as we are just regular people, old school, without a staff, to assist us in Mr. Wayne's request for source of information and laws. In other cases, persons who contacted the Commission didn't have to submit what has been required of us, to assist you, Mr. Wayne with your investigation.

At the end of every 2010 Campaign Finance Report is the Certification filed by Roger Katz, See Exhibit #11
Enclosed please find Title 17-A § 453 Unsworn
Falsification, for your review, if applicable See Exhibit #12

Exhibit #2

From: O'Brien, Gavin
 Sent: Wednesday, December 08, 2010 2:54 PM
 To: 'rkatz@lipmankatzmckee.com'
 Cc: Wayne, Jonathan
 Subject: RE: Overspending
 Senator Katz,

I have deleted the \$118.80 postage expenditure as indicated below and re-filed the report. Please let me know if you have any questions.

--
 Gavin O'Brien
 Candidate Registrar
 Maine Ethics Commission
 (207) 287-4709

From: Wayne, Jonathan
 Sent: Tuesday, December 07, 2010 1:40 PM
 To: 'rkatz@lipmankatzmckee.com'
 Cc: Johnson, Kevin
 Subject: Overspending

Sen. Katz,

Thank you again for coming forward concerning the invoice from Modern Screen Print, as described in your November 11, 2010 letter. The staff of the Commission will be viewing this as an instance of "overspending," which is our informal term for situations in which Maine Clean Election Act candidates spend more than they are permitted within the requirements of the program. Based on past experience, the Commission staff anticipates that we will discover one or two more cases of overspending by 2010 candidates. We are planning on putting these on the agenda of the Commission's January meeting. Tentatively, that meeting is scheduled for Thursday, January 27, 2010 at 9:00 a.m. at the Commission's office at 45 Memorial Circle. (The Commissioners haven't specifically approved that date, but they have been meeting on the last Thursday of the month.) If it is helpful for your schedule as a Legislator, I can put your matter as the first item on the agenda so that you're not kept waiting.

With regard to the \$118.88 payment which was reported in October but did not in fact happen, I have asked Candidate Registrar Kevin Johnson to delete it from your report. You'll receive a confirming e-mail from him when he's completed that.

Thank you again.

Jonathan Wayne
 Executive Director
 Maine Ethics Commission
 35 SHS
 Augusta, ME 04333
 207-474-4179

04/2011

21-A MRSA §1127. VIOLATIONS

★ 1. Civil fine. In addition to any other penalties that may be applicable, a person who violates any provision of this chapter or rules of the commission adopted pursuant to section 1126 is subject to a fine not to exceed \$10,000 per violation payable to the fund. The commission may assess a fine of up to \$10,000 for a violation of the reporting requirements of sections 1017 and 1019-B if it determines that the failure to file a timely and accurate report resulted in the late payment of matching funds. In addition to any fine, for good cause shown, a candidate, treasurer, consultant or other agent of the candidate or the political committee authorized by the candidate pursuant to section 1013-A, subsection 1 found in violation of this chapter or rules of the commission may be required to return to the fund all amounts distributed to the candidate from the fund or any funds not used for campaign-related purposes. If the commission makes a determination that a violation of this chapter or rules of the commission has occurred, the commission shall assess a fine or transmit the finding to the Attorney General for prosecution. A final determination by the commission may be appealed to Superior Court in accordance with Title 5, chapter 375, subchapter 7 and the Maine Rules of Civil Procedure, Rule 80C. Fines assessed or orders for return of funds issued by the commission pursuant to this subsection that are not paid in full within 30 days after issuance of a notice of the final determination may be enforced in accordance with section 1004-B. Fines paid under this section must be deposited in the fund. In determining whether or not a candidate is in violation of the expenditure limits of this chapter, the commission may consider as a mitigating factor any circumstances out of the candidate's control.

[2009, c. 302, §23 (AMD) .]

★ 2. Class E crime. A person who willfully or knowingly violates this chapter or rules of the commission or who willfully or knowingly makes a false statement in any report required by this chapter commits a Class E crime and, if certified as a Maine Clean Election Act candidate, must return to the fund all amounts distributed to the candidate.

[1995, c. 1, §17 (NEW) .]

SECTION HISTORY

IB 1995, c. 1, §17 (NEW). 2003, c. 81, §1 (AMD). 2005, c. 301, §33 (AMD). 2005, c. 542, §6 (AMD). 2009, c. 302, §23 (AMD).

Exhibit #4

6. **Restrictions on contributions and expenditures for certified candidates.** After certification, a candidate must limit the candidate's campaign expenditures and obligations, including outstanding obligations, to the revenues distributed to the candidate from the fund and may not accept any contributions unless specifically authorized by the commission. Candidates may also accept and spend interest earned on fund revenues in campaign bank accounts. All revenues distributed to a certified candidate from the fund must be used for campaign-related purposes. The candidate, the treasurer, the candidate's committee authorized pursuant to section 1013-A, subsection 1 or any agent of the candidate and committee may not use these revenues for any but campaign-related purposes. A television advertisement purchased with these revenues must be closed-captioned when closed-captioning is available from the broadcasting station who will broadcast the advertisement. The commission shall publish guidelines outlining permissible campaign-related expenditures.

[2009, c. 105, §1 (AMD) .]

6-A. (TEXT EFFECTIVE UNTIL 9/1/11) **Assisting a person to become an opponent.** A candidate or a person who later becomes a candidate and who is seeking certification under subsection 5, or an agent of that candidate, may not assist another person in qualifying as a candidate for the same office if such a candidacy would result in the distribution of revenues under subsections 7 and 8 for certified candidates in a contested election.

[2007, c. 443, Pt. B, §6 (NEW) .]

6-A. (TEXT EFFECTIVE 9/1/11) **Assisting a person to become an opponent.** A candidate or a person who later becomes a candidate and who is seeking certification under subsection 5, or an agent of that candidate, may not assist another person in qualifying as a candidate for the same office if such a candidacy would result in the distribution of revenues under subsections 7 and 8-A for certified candidates in a contested election.

[2009, c. 302, §12 (AMD); 2009, c. 302, §24 (AFF) .]

6-B. **Expenditures as payment to household members.**

[2009, c. 302, §13 (RP) .]

6-C. **Expenditures to the candidate or family or household members.** Expenditures to the candidate or immediate family member or household member of the candidate are governed by this subsection.

A. The candidate may not use fund revenues to compensate the candidate or a sole proprietorship of the candidate for campaign-related services. [2009, c. 302, §14 (NEW).]

B. A candidate may not make expenditures using fund revenues to pay a member of the candidate's immediate family or household, a business entity in which the candidate or a member of the candidate's immediate family or household holds a significant proprietary or financial interest or a nonprofit entity in which the candidate or a member of the candidate's immediate family or household is a director, officer, executive director or chief financial officer, unless the expenditure is made:

- (1) For a legitimate campaign-related purpose;
- (2) To an individual or business that provides the goods or services being purchased in the normal course of the individual's occupation or the business; and

2010 Election Year



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FEB 22 2010

COMMISSION ON GOVERNMENTAL ETHICS AND ELECTION PRACTICES

Mail: 135 State House Station, Augusta, Maine 04333

Office: 45 Memorial Circle, Augusta, Maine

Website: www.maine.gov/ethics

Phone: 207-287-4179

Fax: 207-287-6775

2010 CANDIDATE REGISTRATION

Notice: Changes to registration information must be filed within 10 days in writing or by e-mail to the Commission.

Is this an amendment? Yes No

1. CANDIDATE INFORMATION			
Are you running as a (check one): <input checked="" type="checkbox"/> Maine Clean Election Act candidate <input type="checkbox"/> privately financed candidate			
Title <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input checked="" type="checkbox"/> Mr. <input type="checkbox"/> Dr. <input type="checkbox"/> Honorable		Party affiliation Republican	Office sought State Senator
Name: First Roger	MI or Middle Name	Last Katz	District or County 24
Mailing address 3 Westview Street			Home Phone (207) 622-9921
City, zip code Augusta 04330			Cell Phone (207) 485-2394
E-mail rkatz@lipmankatzmckee.com		Fax (207) 622-7415	Work Phone (207) 622-3711

2. TREASURER INFORMATION			
Name: First William	MI or Middle Name P.	Last Browne	Phone (home) (207) 622-3096
Mailing address 793 Webber Pond Road			Phone (work) (207) 314-4787
City, zip code Vassalboro 04989		E-mail wpbrowne@gmail.com	Fax

DESIGNATION OF TREASURER: A candidate for office must appoint a treasurer no later than 10 days after becoming a candidate, and before accepting contributions, making expenditures or incurring obligations. A MCEA CANDIDATE MAY NOT SERVE AS TREASURER. No later than 10 days after appointing a treasurer, the candidate must register with the Commission the name and address of the candidate and treasurer. The treasurer is responsible for maintaining campaign records and for filing reports. (21-A MRSA §§ 1013-A and 1125(12-A))

2A. DEPUTY TREASURER INFORMATION			
Name: First Michael	MI or Middle Name	Last McKenney	Phone (home) (207) 485-1961
Mailing address 44 Windy Street			Phone (work) (207) 623-8401
City, zip code Augusta 04330		E-mail mmckenney@glmpas.com	

DESIGNATION OF DEPUTY TREASURER (optional): The candidate may appoint a deputy treasurer and notify the Commission no later than 10 days after the appointment. A MCEA CANDIDATE MAY NOT SERVE AS DEPUTY TREASURER. The deputy, when acting in the absence of the treasurer, has the same powers and responsibilities as the treasurer. (21-A MRSA § 1013-A (1)(A)(1))

3. AUTHORIZED AGENT INFORMATION		
Name	Phone	Email
Name	Phone	Email

DESIGNATION OF AUTHORIZED AGENT (optional): Please use this section to designate individuals, other than the treasurer and deputy treasurer, authorized to file reports on your behalf.

4. POLITICAL COMMITTEE INFORMATION		
Name	Phone	
Katz for Senate Committee	(207) 485-2394	
Address of campaign headquarters	City, zip code	
3 Westview Street	Augusta 04330	

DESIGNATION OF POLITICAL COMMITTEE (optional): The candidate may form a political or campaign committee. Within 10 days of forming the committee and before accepting contributions, making expenditures or incurring obligations, the candidate must:

- appoint a treasurer (the candidate may have only one treasurer who is listed in Section 2) and
- register the committee and its officers, if any are appointed, with the Commission. (21-A MRSA § 1013-A (1) (B))

Committee Officers (use additional pages, if necessary):

Name	Title	Phone
Norman Elvin	Chairman	(207) 557-0438
Mailing address	City, zip code	E-mail
32 Buena Vista Drive	Augusta 04330	nelvin@geroofing.com
Name	Title	Phone
Michael McKenney	Deputy Treasurer	(207) 485-1961
Mailing address	City, zip code	E-mail
44 Windy Street	Augusta 04330	mmckenney@glmcpas.com

5. CERTIFICATION	
I, <u>Roger Katz</u> , certify that the information in this registration is true, accurate and complete. <small>(Print Candidate's Full Name)</small>	
Signature of Candidate 	Date <u>2/22/10</u>

6. FOR COUNTY CANDIDATES ONLY	
<p>REPORTING EXEMPTION REQUEST: A candidate for county office may request an exemption from the obligation to appoint a treasurer and file campaign finance reports if the candidate does not accept any cash or in-kind contributions or make any expenditures for his or her campaign. You cannot request a reporting exemption if you use your or your spouse's/domestic partner's personal funds to pay for your campaign expenses. To request an exemption, complete the statement below and sections 1 & 5, have the form notarized, and submit it to the Commission.</p>	
<p>STATEMENT OF ELIGIBILITY FOR A REPORTING EXEMPTION: I, the undersigned, swear or affirm that I will not accept contributions, make expenditures or incur obligations associated with my candidacy.</p>	
Signature of county candidate _____	Date _____
Subscribed and sworn (affirmed) to before me this _____ day of _____, 20____.	
Signature of Notary/Attorney-at-law _____ <small>(Seal is optional)</small>	My commission expires _____ <small>(Date)</small>
<p>REVOCAION NOTICE: The foregoing statement may be revoked. Prior to revocation, the candidate must appoint a treasurer. A revocation notice must be in the form of an amended registration which must be filed with the Commission no later than 10 days after the date the treasurer is appointed. The notice must be filed before contributions are accepted or expenditures made. A late revocation notice is subject to the same penalties applicable to late campaign finance reports.</p>	

Sworn Falsification is a Class D crime. (17-A MRSA § 453)

Exhibit #6

2. Election Campaign Reporting and Maine Clean Election Act Violations

- A. **Report Review.** The Commission staff will review all reports filed pursuant to 21-A M.R.S.A., chapters 13 and 14 to verify compliance with the reporting requirements set by statute or rule. Notice of any omission, error, or violation will be given by mail to the filer and a copy of the notice and any other communication made to or from the filer relating to the problem(s) will be placed in the filer's record. The Commission staff will establish a reasonable time period for the filer to remedy any omission or error. If the filer fails to respond within that time frame, the Commission staff may extend the time period within which the filer must comply or place the matter on the agenda of the next Commission meeting, along with all documents relating to the case. Additionally, any apparent violations or occurrences of substantial nonconformance with the requirements of the law will be placed on the agenda of the next meeting.
- B. **Late Reports and Registrations.** Where required by statute, notice of failure to file a required report will be timely sent by Commission staff. When a report or registration is filed late, the Director's recommendations will be based on the following considerations:
- (1) Lateness of report or registration,
 - (2) Reason for lateness,
 - (3) Kind of report (more stringent application for pre-election reports),
 - (4) Amount of campaign funds not properly reported,
 - (5) Previous record of the filer,
 - (6) Good faith effort of the filer to remedy the matter; and
 - (7) Whether the late filing had an effect on a certified candidate's eligibility for matching funds.
- C. Reports of noncompliance with the provisions of the campaign registration and reporting laws or the Maine Clean Election Act that may come to the attention of the Commission staff from any source other than review of the reports filed will be reported to the Commission Chair. Any person (as defined in 21-A M.R.S.A. §1001) may make an official request for a Commission investigation or determination by filing a written request at the Commission's office, setting forth such facts with sufficient details as are necessary to specify the alleged violation. Statements should be made upon personal knowledge. Statements which are not based upon personal knowledge must identify the source of the information which is the basis for the request, so that respondents and Commission staff may adequately respond to the request. A copy of any such written request will be promptly mailed to the candidate or organization alleged to have violated the statutory requirements. An official request will be placed on the agenda of the next Commission meeting.
- D. An oral report of a violation, or a written request containing insufficient detail to specify the violation charged, does not constitute an official request for a Commission determination, and a person registering such a complaint will be notified.
- E. The signature of a person authorized to sign a report or form constitutes certification by that person of the completeness and accuracy of the information reported. The use of a password in filing an electronic report constitutes certification of the completeness and accuracy of the report.

*

SECTION 7. EXPENDITURES

1. **Expenditures by Consultants, Employees, and Other Agents of a Political Campaign.** Each expenditure made on behalf of a candidate, political committee, or political action committee by any person, agency, firm, organization, etc., employed or retained for the purpose of organizing, directing, managing or assisting the candidate, the candidate's committee, or the political action committee must be reported separately by the candidate or committee as if made or incurred by the candidate or committee directly. The report must include the name of the third party vendor or payee to whom the expenditure was made, the date of the expenditure, and the purpose and amount of the expenditure. It is not sufficient to report only the total retainer or fee paid to the person, agency, firm, organization, etc., if that retainer or fee was used to pay third party vendors or payees for campaign-related goods and services.
2. **Expenditures by Political Action Committees.** In addition to the requirements set forth in 21-A M.R.S.A. §1060(4), the reports must contain the purpose of each expenditure and the name of each payee and creditor.
3. **Timing of Reporting Expenditures**
 - A. Placing an order with a vendor for a good or service; signing a contract for a good or service; the delivery of a good or the performance of a service by a vendor; or a promise or an agreement (including an implied one) that a payment will be made constitutes an expenditure, regardless whether any payment has been made for the good or service.
 - B. Expenditures must be reported at the earliest of the following events:
 - (1) The placement of an order for a good or service;
 - (2) The signing of a contract for a good or service;
 - (3) The delivery of a good or the performance of a service by a vendor;
 - (4) A promise or an agreement (including an implied one) that a payment will be made; or
 - (5) The making of a payment for a good or service.
 - C. At the time the duty to report an expenditure arises, the person submitting the report is required to determine the value of goods and services to be rendered (preferably through a written statement from the vendor) and to report that value as the amount of the expenditure. If the expenditure involves more than one candidate election, the report must include an allocation of the value to each of those candidate elections.

a specific basis for believing that the goods and services purchased were not used for the primary election.

- C. The Commission will request a response from the opposing candidate or other respondent, and will make a determination whether the expenditure should be counted toward the certified candidate's eligibility for matching funds.

SECTION 6. LIMITATIONS ON CAMPAIGN EXPENSES

A certified candidate must:

- * 1. limit the candidate's campaign expenditures and obligations to the applicable Clean Election Act Fund distribution amounts plus any authorized matching fund allocations;
2. not accept any contributions unless specifically authorized in writing to do so by the Commission in accordance with the Act [§1125(2) and §1125(13)];
3. use revenues distributed from the Fund only for campaign-related purposes as outlined in guidelines published by the Commission, and not for personal or any other use;
4. not use revenues distributed from the Fund to purchase goods to sell for profit;
5. not spend more than the following amounts of Fund revenues on post-election parties, thank you notes, or advertising to thank supporters or voters:
- A. \$250 for a candidate for the State House of Representatives;
 - B. \$750 for a candidate for the State Senate; and
 - C. \$2,500 by a gubernatorial candidate.

The candidate may also use his or her personal funds for these purposes; and

6. not use revenues distributed from the Fund for the payment of fines, forfeitures, or civil penalties, or for the defense of any enforcement action of the Commission.

SECTION 7. RECORD KEEPING AND REPORTING

- * 1. **Record Keeping by Participating and Certified Candidates.** Participating and certified candidates and their treasurers must comply with applicable record keeping requirements set forth in Title 21-A, chapter 13, subchapter II [§1016], and chapter 14 [§1125(12-A)]. Failure to keep or produce the records required under Title 21-A and these rules is a violation of the Act for which the Commission may impose a penalty. The Commission may also require the return of funds for expenditures lacking supporting documentation if a candidate or treasurer is found in violation of the record keeping requirements. The candidate or the treasurer shall have an opportunity to be heard prior to any Commission decision imposing a penalty or requiring the return of funds under this section. In addition to these specific actions, the Commission may also take any other action authorized under Title 21-A.

Exhibit #9

- C. Information or records subject to a privilege against discovery or use as evidence; and
- D. Intra-agency or interagency communications related to an audit or investigation.

The commission may disclose investigative working papers, except for the information or records subject to a privilege against discovery or use as evidence, in a final audit or investigation report or determination if the information or record is materially relevant to a finding of fact or violation.

4. Attorney General. Upon the request of the commission, the Attorney General shall aid in any investigation, provide advice, examine any witnesses before the commission or otherwise assist the commission in the performance of its duties. The commission shall refer any apparent violations of this chapter to the Attorney General for prosecution.

21A § 1004. Violations

The violation of any of the following subsections is a Class E crime.

1. Contributions and expenditures. A person, candidate, treasurer, political committee or political action committee may not knowingly make or accept any contribution or make any expenditure in violation of this chapter.

2. False statements. No person, candidate, treasurer or political action committee may make a false statement in any report required by this chapter.

3. Contributions in another's name. No person may make a contribution in the name of another person or knowingly permit his name to be used to accomplish such a contribution, and no person may knowingly accept a contribution made by one person in the name of another person.

4. Registration; political action committees. No political action committee required to be registered under section 1053 may operate in this State unless it is so registered.

21-A § 1004-A. Penalties

The commission may assess the following penalties in addition to the other monetary sanctions authorized in this chapter.

1. Late campaign finance report. A person that files a late campaign finance report containing no contributions or expenditures may be assessed a penalty of no more than \$100.

2. Contribution in excess of limitations. A person that accepts or makes a contribution that exceeds the limitations set out in section 1015, subsections 1 and 2 may be assessed a penalty of no more than the amount by which the contribution exceeded the limitation.

3. Contribution in name of another person. A person that makes a contribution in the name of another person, or that knowingly accepts a contribution made by one person in the name of another person, may be assessed a penalty not to exceed \$5,000.

Exhibit #10

4. Substantial misreporting. A person that files a campaign finance report that substantially misreports contributions, expenditures or other campaign activity may be assessed a penalty not to exceed \$5,000.

5. Material false statements. A person that makes a material false statement or that makes a statement that includes a material misrepresentation in a document that is required to be submitted to the commission, or that is submitted in response to a request by the commission, may be assessed a penalty not to exceed \$5,000.

When the commission has reason to believe that a violation has occurred, the commission shall provide written notice to the candidate, party committee, political action committee, committee treasurer or other respondent and shall afford them an opportunity to appear before the commission before assessing any penalty. In determining any penalty under subsections 3, 4 and 5, the commission shall consider, among other things, the level of intent to mislead, the penalty necessary to deter similar misconduct in the future and the harm suffered by the public from the incorrect disclosure. A final determination by the commission may be appealed to the Superior Court in accordance with Title 5, chapter 375, subchapter 7 and the Maine Rules of Civil Procedure Rule 80C.

Penalties assessed pursuant to this section that have not been paid in full within 30 days after issuance of a notice of the final determination may be enforced in accordance with section 1004-B.

21-A § 1004-B. Enforcement of penalties assessed by the commission

The commission staff shall collect the full amount of any penalty and the return of Maine Clean Election Act funds required by the commission to be returned for a violation of the statutes or rules administered by the commission and has all necessary powers to carry out these duties. Failure to pay the full amount of any penalty assessed by the commission or return of Maine Clean Election Act funds is a civil violation by the candidate, treasurer, party committee, political action committee or other person. Thirty days after issuing the notice of penalty or order for the return of funds, the commission shall report to the Attorney General the name of any person who has failed to pay the full amount of any penalty or to return Maine Clean Election Act funds unless the commission has provided an extended deadline for payment. The Attorney General shall enforce the violation in a civil action to collect the full outstanding amount of the penalty or order for the return of Maine Clean Election Act funds. This action must be brought in the Superior Court for Kennebec County or the District Court, 7th District, Division of Southern Kennebec.

21-A § 1005 Restrictions on commercial use of contributor information

Information concerning contributors contained in campaign finance reports filed by candidates, political action committees and party committees and reports filed under section 1056-B may not be used for any commercial purpose, including, but not limited to, the sales and marketing of products and services, or for solicitations of any kind not directly related to activities of a political party, so-called "get out the vote" efforts or activities directly related



Exhibit #11

2010 CAMPAIGN FINANCE REPORT

FOR MCEA CANDIDATES

CANDIDATE		
ROGER KATZ 3 WESTVIEW STREET AUGUSTA, ME 04330 OFFICE SOUGHT: SENATE	DISTRICT: 24	TEL: (207)622-9921 FAX: (207)622-7415 E-MAIL: rkatz@lipmankatzmckee.com
TREASURER		
WILLIAM P. BROWNE 793 WEBBER POND ROAD VASSALBORO, ME 04989		TEL: (207)622-3096 FAX: E-MAIL: wpbrowne@gmail.com
TYPE OF REPORT	DUE DATE	REPORTING PERIOD
42-DAY POST-GENERAL	12/14/2010	10/20/2010 - 12/7/2010
NO FINANCIAL ACTIVITY IN THIS REPORTING PERIOD FOR SCHEDULES D, E		
CERTIFICATION		
<p>I, ROGER KATZ, CERTIFY THAT THE INFORMATION CONTAINED IN THIS REPORT IS TRUE, ACCURATE AND COMPLETE TO THE BEST OF MY KNOWLEDGE.</p> <p>REPORT FILED BY: ROGER KATZ REPORT FILED ON: 1/13/2011</p> <p>IF THIS REPORT IS FILED BY AN AUTHORIZED AGENT OF THE CANDIDATE, THE CANDIDATE, TREASURER AND AGENT ARE LIABLE FOR ANY VIOLATIONS OF MAINE CAMPAIGN FINANCE LAW (21-A M.R.S.A. CHAPTER 13) AND THE COMMISSION'S RULES THAT MAY RESULT FROM THE FILING OF A FALSE OR INACCURATE REPORT.</p>		

UNSWORN FALSIFICATION IS A CLASS D CRIME (17-A M.R.S.A. § 453).

Our Findings (from Mr. Wayne's interview)

The quotes are Buddy Doyle's responses. There are no questions provided in regards to this interview. Mr. Green requested them and Mr. Wayne claims he didn't write them down. We allege this violates FOIA, so we question these responses, from Mr. Wayne's notes.

① Buddy Doyle

"bought signs, fliers as card deemed necessary"
This confirms what Buddy Doyle told us he ordered signs, etc. on February 5th conversation.

② "PK so concerned about doing everything right. Budgeting - being careful." We contend the best way to budget is not to overspend and report expenditures, when you order signs on September 7th. We allege in this campaign, the best way to budget, is to buy campaign materials wholesale and not pay sales taxes, which happened in this campaign.

③ "MSP - did another batch of signs but didn't bill campaign." We disagree that Buddy Doyle didn't get an invoice, because according to Kathy, Buddy got an invoice with signs. We allege that Buddy Doyle didn't provide invoice to the campaign, because his name was on the invoice.

④ "Watching cash balance very carefully. Got belated bill from MSP." We disagree, according to Kathy, the signs were purchased with an invoice and she mailed copy of invoice. We presume she mailed it to Buddy Doyle's home address, 18 Vine Street, Gardiner, ME, because Buddy Doyle gave direct orders not to contact the campaign, only him. This is confirmed in Roger Katz's, November 11th letter that MSP contacted a volunteer. The fact is MSP contacted the vendor, Buddy Doyle (not a volunteer). In addition, a volunteer would not be allowed, to purchase signs wholesale. A volunteer would be charged retail price, not wholesale price. According to Kathy, no sales taxes were charged. We allege this is because signs were purchased wholesale. The best way to watch the money, is to buy products wholesale with no sales taxes.

- ⑤ "Received note in door, Thought he was a candidate please call me re: political signs". We agree Mr. Greenier left his business card in the door for Buddy Doyle to call him and he refused.
- ⑥ "He called on Sat. evening. Tht asking questions Ready for dinner. Realized talking to problem without a full deck. Did not call at home number Also called on wife's cell phone." We agree we called Saturday about 5:15pm. Mr. Greenier did ask questions about campaign and signs. As soon as Mr. Greenier told Buddy Doyle, that he ordered signs through his printing company, he immediately hung up. Mr. Greenier tried to get home number, but couldn't get it. He got the phone number from real estate signs. Also, Buddy Doyle's wife is President of October publication, Buddy Doyle's printing company. See Exhibit #13. According to Kathy at MSP, the signs were ordered through Buddy Doyle's printing company.
- ⑦ "Bought from Copy Center - bumper stickers" We agree product was purchased, as an expenditure on campaign reports from Copy Center.
- ⑧ "Campaign had been so careful with tone of campaign" We disagree, because the tone of the campaign is not reporting expenditures, late reports through amendments and inaccurate reporting and violations of MCE Act.
- ⑨ "No purchases of BD's personal funds, eier. As knew all purchases had to ^{be} made by campaign. No intention that anyone else would pay for signs or other goods. Always intended that invoices would go to RK's residence." We disagree because by purchasing signs wholesale that is an in-kind contribution, to the campaign and unfair to the opponent, who has to buy signs retail and pay sales taxes. There is a business

In the middle of this campaign, Buddy Doyle gave direct orders to Kathy not to contact the campaign, only him, and she complied with that order, because Buddy Doyle was the vendor. Roger Katz claims he believe that he didnt get an invoice. The fact is he couldn't get the invoice mailed to his residence, if Buddy Doyle gave direct orders not to contact the campaign, only him.

⑩ "When BD worked on mayoral campaign, did work with MSP, other campaigns. MSP does a lot of political work. Knew price wd be competitive"

We agree there is proof that Buddy Doyle worked in the mayoral race regarding campaign signs and political campaign funds. According to the Kennebec Journal, Jan 6, 2007 editorial titled, "Time to hoist a cold one to toast new mayor" This editorial, written by Buddy Doyle confirms he was "a recipient of campaign funds - to pay for signs." Buddy Doyle knew the price was competitive, because we allege he bought signs wholesale in the mayors race. According to Kathy, Buddy Doyle bought signs in the mayor's race. That's how she knew he was a vendor with a printing company. We are requesting the commissioners, to request a subpoena for copies of invoices for signs from the mayors race and we allege you will find Buddy Doyle's name on the invoices and that signs were purchased wholesale, without sales taxes.
See Exhibit #14

⑪ "Don't know Tim McLeod that well. No reason for MSP to give a discount. Received standard price. Didn't receive a discount. If campaign buys greater number, better deal."

We have no knowledge if he does. I know Tim that well. We disagree that there was no reason for MSP to give a discount, because as a vendor, you do get a discount, when you buy signs wholesale. MSP is a business to business wholesale company. We disagree that Buddy got the standard price, because he got a wholesale price, through

his printing company. We disagree that Buddy didn't get a discount, because the only way to not pay sales taxes, is to purchase product wholesale. The fact is when you purchase product retail, you have to pay sales taxes. We agree if you buy more signs, you get a better price.

(12) "Cordial, rel'p, but not close. Pleasant to work with. Not a big customer. We agree Tim is pleasant and Buddy is probably not a big customer.

(13) "Thought that price would be standard. Wanted nice-looking signs, good service - not out for cheapest price" We disagree price would be standard. The signs were purchased wholesale, not retail price. We agree they are nice looking signs and assume good service. We disagree not out for cheapest price. If Buddy Doyle buys signs wholesale, that is cheapest price.

(14) "In 10 years, made 3-4 purchases < 10 Andy McLean
Brian Rines, RK (2) 3)
business ~~ss~~ - Kayaks ⁽²⁾ Augusta waterfront. Locker
for Kayaks"

We have no knowledge about number of purchases, but we do know from Brian Rines campaign that Buddy Doyle's name appears on his campaign. Buddy Doyle was paid, in that campaign. Review the Ethics Commission website. We agree that Buddy Doyle has a business called Kayak Concepts, LLC, according to SOS office. Under the SOS office, there is a State of Maine 2010 Annual Report for Kayak Concepts, that states that Buddy Doyle is a member. At the bottom of the list is Roger Katz (at his home address), as a member. In conclusion, Roger Katz is involved in Buddy Doyle's business, Kayak Concepts LLC. See Exhibit #15. Also, one of Buddy Doyle's business clients, is the law firm of Lipman, Katz and McKee. The proof is on BuddyDoyle.com. See Exhibit #16

- ⑤ "Not a wholesaler, Did not get price, as a wholesaler. Paid same price as other customers, Did not negotiate price that Tim gave him. Would not spend time negotiating"
We disagree, the only way to get signs with no sales tax is to purchase signs wholesale. According to Kathy's 1st response in her interview on 2/22/11 with Mr. Wayne, it says "That's wholesale price, since Buddy was purchasing as a resale." This is proof that signs were purchased wholesale, for resale. This is also confirmed in her 4th response. "If campaign comes directly to MSP, will not give wholesale price." This confirms that the campaign would not get wholesale price. The wholesale price is only for vendor, for resale. As a candidate all of our purchases were retail, not wholesale. Only vendors get wholesale price, for resale. We disagree that Buddy Doyle did not get price as a wholesaler and he paid same price as other customers. We agree that Buddy Doyle did not negotiate price, because you don't negotiate whole price. That is the best price. We agree he accepted Tim's price, because that was the best price, it's called wholesale. We agree that Buddy would not spend time negotiating, because he purchased signs wholesale.
- ⑥ "Dealt with Tim. Kathy picked up" We agree that Kathy told us Buddy Doyle picked up signs with invoice.
- ⑦ "BD was in Old Town and picked up" We have no knowledge about this.
- ⑧ "BD doesn't know about ^{lack of} sales tax. Always assumed no sales tax on campaign purchases". We disagree

(18) (cont)

that Buddy Doyle doesn't know about lack of sales taxes, because Buddy Doyle is a vendor who owns a printing company called October Publications. A vendor knows there are no sales taxes on campaign materials, because you purchase signs for resale, with a resale certificate.

* We are requesting the Commissioners, to request invoices in this campaign and the mayor's race. We allege you will find Buddy Doyle didn't pay sales taxes for signs, in the mayor's race, as well as this campaign.

(19) "No conversations with Tim McLeod about sales tax. Know that MSP does work for a lot of campaigns. We have no knowledge about his conversations, but we do know that MSP does a lot of campaign work. As a businessman, Buddy Doyle knows that when you purchase goods and services wholesale, that you don't pay sales taxes, because they are purchased for resale. In this case, please include 94-270 Chapter 1 page 10 Section 6 Contributions and Other Receipts 4, as follows "... the provision of any goods or services without charge or at a charge that is less than the usual and customary charge for such goods or services is an in-kind contribution." ... The amount of the In-Kind Contribution is the difference between the usual and customary charge and the amount charged the candidate or political committee." See Exhibit #17. We allege that the difference between wholesale price and retail price is an in-kind contribution and we question how was Buddy Doyle paid in this campaign for his design services and travel, which we allege is an in-kind contribution.

(20) "Kayak Concepts, LLC
 product is Kayak Condos
 Hope to sell to Bank
 Exactly 2 for KC, LLC"

We agree that one of Buddy Doyle's company's
 is Kayak Concepts and his product is Kayak
 condos. The rest we have no knowledge of

(21) "Did do Graphic design for Katz campaign.
 Volunteer, Friends.

Also did design for Brian Rines and
 Andy McLean Will be careful.

We agree Buddy Doyle does graphic designs
 as was confirmed in conversation on
 the phone on 2/15/11, Buddy confirmed that
 he and Roger were friends, but he never
 mentioned the word volunteer in that
 conversation. We do know that he was
 involved in the Brian Rines campaign,
 but no knowledge of Andy McLean.

We don't know what Mr. Wayne is referring
 to about statement "will be careful"

Summary:

Buddy Doyle is a vendor, who owns a
 printing company. He purchases signs wholesale,
 with no sales taxes. As a vendor, he knows
 that MSP is a business to business wholesaler,
 who has purchased signs in past campaigns,
 including Roger Katz's mayoral races and
 Brian Rines race.

Maine Secretary of State



**2010 Annual Report
Electronic Filing Acknowledgment**

For Business Corporations on file as of December 31, 2009

Charter Number: 20051174 D
DCN Number: 2100019063270
Legal Name: OCTOBER PUBLICATIONS, INC.

Clerk's Name and Address:

EDMUND F. DOYLE
18 VINE STREET
GARDINER, ME 04345

Brief statement of the character of the business:

NONE

Name and Address of Officers:

TREASURER
EDMUND F. DOYLE
18 VINESTREET, GARDINER, ME 04345

PRESIDENT
GERALDINE DOYLE
18 VINE STREET, GARDINER ME 04345

Name and Address of Shareholders:

GERALDINE DOYLE
18 VINE STREET, GARDINER, ME 04345

EDMUND F. DOYLE
18 VINE STREET, GARDINER, ME 04345

Date of Filing: January 6, 2010

Name and Capacity of Authorizing Party:

EDMUND F. DOYLE, TREASURER

Time to hoist a cold one to toast new mayor

0 Comments | *Kennebec Journal, Jan 6, 2007*

A local weekly reported recently about campaign expenditures in the Augusta mayoral campaign. I thought I was finished with editorials for the year, but since my name was mentioned as a recipient of campaign funds -- to pay for campaign signs -- well, maybe just one more effort. I support full disclosure of political campaign funds, so I offer the following:

The total of \$250 contributions was far eclipsed by the total of \$5 and \$10 contributions. The candidate wanted to send back some of the money, but it would be like refunding people's faith and trust. Roger Katz often declined our invitation for "a cold one" on a hot summer night because he wanted to walk yet another neighborhood. He vowed to "knock on every single door in Augusta," and we believe he did. He's spent most of his adult life knocking on someone's door to ask, "What can I do to help?" So when it came time to support his candidacy, contributions large and small poured in -- and volunteers turned out in droves to ask, "What can we do to help?"

On Jan. 2, 2007, Roger Katz was inaugurated as Mayor of Augusta. Be pleased. Be grateful. Because we predict, with absolute certainty, that 20 or 30 years from now this time will be known as "The Katz Era," and we invite you to join us for a cold one to toast to "A Mayor for ALL of Us" -- Happy New Era!

Buddy Doyle

Gardiner

Copyright Kennebec Journal Jan 6, 2007

Exhibit #15

Filing Fee
\$85.00

Make check payable to
Secretary of State

Please file by
April 1, 2010

STATE OF MAINE
2010 ANNUAL REPORT
FOR LIMITED LIABILITY COMPANIES ON FILE AS OF
DECEMBER 31, 2009

Pursuant to 31 MRSA §757 2, the information on the
report must be current as of the date signed

Do not change any preprinted information on this form.

Filing by April 1, 2010 will allow
us to provide better service. The
legal filing deadline is still June
1, 2010. A \$50 late filing fee will
be assessed if the report is late

DCN Number:

2100019087114

Charter Number

20080953 DC

KAYAK CONCEPTS, LLC
C. H. SPURLING, ESQ., REGISTERED AGENT
TWO CHURCH STREET
GARDINER, ME 04345

If you have any questions regarding the completion of this annual report or if the preprinted information on this report form is incorrect, contact the Reporting & Information Section at (207) 624-7752. All corporate forms are available on our website at www.maine.gov/sos/cec/corp. To file your annual report online, go to www.SOSonline.org and click on the Interactive Corporate Services link. Please see reverse side of this form for additional filing instructions --> --> -->

1. A brief statement of the character of the business in which the limited liability company is actually engaged in the State of Maine, if none, so indicate* (31 MRSA §757 1 C)

WE CONTRACT FOR MANUFACTURE AND SELL KAYAK STORAGE SYSTEMS.

2. Name of all Members :

(31 MRSA §757 1 D, §851 and §891)

EDMUND F. BUDDY DOYLE

KEEL DOYLE

JERIN KYLE

CLIFFORD FLETCHER

ROGER KATZ

Street address of each (not P O Box):

(physical location (not P O Box)- street or rural route number, town/city, zip)

18 VINE ST. GARDINER 04345

" " "

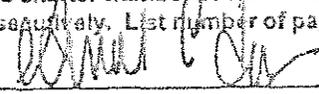
1032 LEWISTON RD. W. GARDINER 04345

16 POND RD. MANCHESTER 04351

3 WESTVIEW AUGUSTA 04330

THIS PREPRINTED FORM MUST BE USED. However if more space is needed, please attach additional pages using one side only. All attachments must contain the name and charter number of the limited liability company across the top of the page. Each page should be numbered consecutively. List number of pages attached: _____

Dated: JUL 15 2010



(AUTHORIZED SIGNATURE)

EDMUND F. DOYLE (MEMBER)

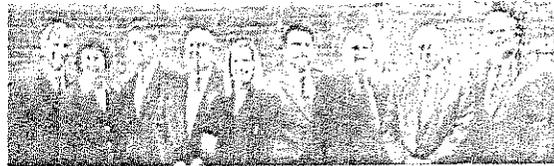
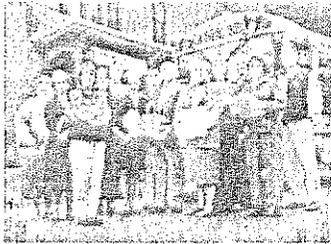
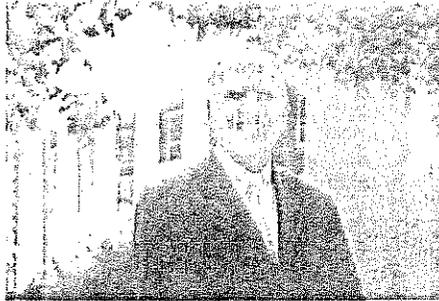
(TYPE OR PRINT NAME AND CAPACITY)

(Execution - 31 MRSA §757 3 Penalty for untrue or omitted material facts- 31 MRSA §527 3 and §721 2)

RETURN TO: Reporting Section, Bureau of Corporations, Elections and Commissions, 101 State House Station, Augusta, ME 04333

BuddyBoyle.com

Exhibit #16



Group photo of people in a room.

Group photo of people in a room.

2. **By the Commission.** Once any matter is reached on the agenda of a Commission meeting, the Commission will control any further investigation or proceedings. No hearings will be held except by direction of the Commission. On a case-by-case basis, the Commission may authorize its Chair, Director, or any ad hoc committee of its members, to conduct further investigative proceedings on behalf of the Commission between Commission meetings. Any authorization so conferred will be fully reflected in the minutes of the Commission meeting.

SECTION 6. CONTRIBUTIONS AND OTHER RECEIPTS

1. The date of a contribution is the date it is received by a candidate, an agent of the candidate, a candidate's committee, a party committee and its agents, or a political action committee and its agents.
2. A loan is a contribution at the time it is made unless the loan was made by a financial institution in the State of Maine in the ordinary course of business. Loans continue to be contributions until they are repaid. Loans are subject to the candidate contribution limitations, except for loans made by the candidate, the candidate's spouse, or a financial institution in the State of Maine in the ordinary course of business. The Commission may consider any reported loan to be a cash contribution if it remains unpaid four years after the election in which it was incurred.
3. Candidates and political action committees must report the name, address, occupation and employer of each individual contributor who gives, in the aggregate, more than \$50 for the reporting period. The reporting is required for private contributions raised by privately financed candidates and for seed money contributions to candidates participating in the Maine Clean Election Act. Candidates, political action committees, and party committees must make a reasonable effort to obtain the employment information of the contributor. If a candidate or committee is unable to obtain the information from the contributor in response to a request, the candidate or committee shall indicate "information requested" in the occupation and employer sections of the campaign finance report.
4. Unless specifically exempted under Title 21-A M.R.S.A. §§ 1012 and 1052 or this section, the provision of any goods or services without charge or at a charge that is less than the usual and customary charge for such goods or services is an in-kind contribution. Examples of such goods and services include, but are not limited to: equipment, facilities, supplies, personnel, advertising, and campaign literature. If goods or services are provided at less than the usual and customary charge, the amount of the in-kind contribution is the difference between the usual and customary charge and the amount charged the candidate or political committee.
5. An employer that has authorized an employee to provide services without charge to a candidate or political committee during the employee's paid work-time has made an in-kind contribution to the candidate or political committee. No contribution has been made if the employee is providing services as a volunteer outside of the employee's paid work-time.

Summary Roger Katz Campaign

As Concerned Citizens, we respectfully disagree with Mr. Wayne investigation Re: Staff Recommendation on Overspending by Senator Roger J. Katz and Mr. Wayne's Re: Request by Joseph and Michele Greenier, dated 11/19/2011 and 3/21/10 (error in date, we assume he meant 3/21/11), as they are not factual.

We have requested Mr. Wayne on numerous occasions to do his job, instead he demanded we submit paperwork. In all the involvement with the commission, we have never seen a case that mirrors this case. We have never seen Mr. Wayne be disrespectful to anybody except to our family, who supports clean elections. Mr. Greenier attends the commission meetings as a concerned citizen and submits information to the commission and testifies on important matters. Since he ran for State Senate, he has a perspective from not only the people's concerns, but also from the candidate's side.

In this case, due to Mr. Greenier's disabilities, he immediately reported to the Commission he learned, as soon as he learned it by driving from MSP in Bangor, to Augusta and Gardiner. Mr. Greenier relied on the Ethics Commission to take his concerns seriously and to do their job and investigate this case. Mr. Greenier also spoke on the phone, on a second occasion, to make sure the Commission was fully informed about the information he learned from Modern Screenprint and conversation with Buddy Doyle (In Mr. Wayne's first investigation, he never interviewed Buddy Doyle) directly to the Candidate Registrar Gavin O'Brien, so there were two members of the Commission who were verbally informed Paul Lavin and Gavin O'Brien. On numerous occasions, Mr. Greenier attempted to talk to Mr. Wayne, his response was he was too busy. We allege he was too busy - he didn't want to hear what Mr. Greenier had to say about this campaign and the Invoice. We have requested notes regarding these oral conversations and the Commission claims, the notes don't exist. ①

CORE VALUES FOR MAINE

Respect
Honesty
Compassion
Fairness
Accountability
Courage
- Being Determined
- Keeping Your

Summary Roger Katz Campaign

In Mr. Wayne's second investigation (3/21/11), Mr. Wayne interviews Roger Katz, Buddy Doyle and Tim and Kathy McLeod, which we claim is invidious discrimination, to keep the notes from these interviews but not from Mr. Greeniers interviews with Paul Lavin and Gavin O'Brien. The fact is that Mr. Wayne has not taken seriously any of the letters, we have submitted, according to his requests for information, he doesn't want to give creditability to our letters. In all the cases we have seen at the Ethics Commission, this is the first case that Mr. Wayne has vigorously defended the candidate, who has violated the act. To the best of our knowledge, this case the biggest amount of overspending that we know of and yet it is a very small penalty of \$50.00, which we object to; This sends the wrong message, that candidates can overspend at the end of their campaign (in this case it was September, not the end of the campaign as Mr. Wayne claimed) and that at best the penalty will be \$50.00. We are requesting information is there a special privilege for candidates who win their elections, have some sort of immunity from reporting their own violations, to the Commission?

In this case, we have requested all those involved be interviewed, including the treasurer, since both are legally responsible. In this investigation, there are no letters, emails, memos, phone messages, nothing provided in our FOIA request that mentions William P. Brome's name is fully cooperating with the commission and actively involved in this investigation. In fact, when most candidates appear before the commission they bring in the treasurer, to assist them and the commission questions the candidate and treasurer under oath and on the record, that has never happen in this investigation. We question did Roger Katz appoint a treasurer and then refuse to allow him, to submit campaign finance reports?

Summary Roger Katz Campaign

We have requested subpoenas for both treasurer and candidate, to testify under oath, (if they refuse to show up at the Commission meeting). The public deserves to know how much overspending, late reports and substantial misreporting has occurred in this case. We allege this case is not about a lost invoice. That is just a symptom of what went wrong in this case, to blame a vendor, who didn't do anything wrong.

In this investigation our confidentiality has been totally breached, by Mr. Wayne disclosing investigative papers directly to Roger Katz, at his law firm, which we contend is a direct conflict of interest since his partner is the chair of this Commission. We contend that Walter McKee should have completely recused himself off the Commission, until this investigation was completed, as we allege it has tainted the process by Mr. Wayne sending letters and emails to the law firm of Lipman, Katz and McKee.

In addition, on February 5th, we called Buddy Doyle regarding campaign signs. He told us to call Mr. Katz. The next day after Mr. Greenier spoke with Buddy Doyle, Roger Katz writes a check for the \$50.00 penalty and has his firm write a letter to the Commission (on the firm's letterhead) to satisfy the \$50.00 penalty. See Exhibit #18. We find it difficult to understand why Roger Katz can pay this penalty so quickly after we talked to Buddy Doyle, but once he wrote his letter to Mr. Wayne on November 11, 2010, regarding his overspending in his campaign and direct orders to pay MSP, Roger Katz waits two months, until January 11, 2011, to pay for the signs that Buddy Doyle purchased on September 23, 2010 for \$1,245.00, a full 111 days after receiving the signs. We contend that is a deliberate act. Our daughter has assisted us in this case. On Easter Sunday she gave us a quote, "A lie will never give you the truth!" We request the truth! (3)

Exhibit #18

LIPMAN KATZ & MCKEE
ATTORNEYS AT LAW

February 7, 2011

Jonathan Wayne, Executive Director
State of Maine
Commission on Governmental Ethics
& Election Practices
135 State House Station
Augusta, ME 04333-0135

Dear Mr. Wayne:

Thank you for your letter of January 31, 2011. I enclose herewith my check made payable to "Treasurer - State of Maine" in the amount of \$50 to satisfy the civil penalty in this matter.

I thank you.

Sincerely,



Roger J. Katz
rkatz@lipmankatzmckee.com

OK # 117

RJK/cam
Enclosure

Charles SCHWAB

117
117
3-57310
3-57010
150

ROGER J. KATZ
3 WEST VIEW STREET
AUGUSTA, ME 04330-4033
A, ME 04333-4013

Pay to the Order of: Treasurer State of Maine \$ 50.00

Charles Schwab
PNC BANK, N.A. Philadelphia, PA
PNC BANK, N.A. Philadelphia, PA

For: five

2011

In this case, Mr. Wayne has refused to ask Modern Screenprint for the retail price of signs, because he knows these signs were purchased wholesale through his conversation with Kathy at Modern Screenprint. We were not given retail prices, even though we asked for them, so we have used price list from Bangor Letter Shop, where we got our signs and where Bangor Letter orders their signs, from Modern Screenprint.

The campaign owes Modern Screenprint money for these signs, along with sales taxes and interest for total of 155 days late payment, for signs.

① Interest: \$1,245.00 $\frac{69.10}{100}$ (111 days) \$ 88.68 1.5%
 ② Interest: \$ 890.00 $\frac{19.58}{100}$ (44 days)
 88.68

③ Retail price (\$1,245.00) \$1,907.11
 ④ Retail price (\$890.00) \$1,296.89

⑤ Difference between retail/wholesale price) \$1,245.00 } \$ 662.11
 ⑥ Difference between retail/wholesale price) \$ 890.00 } \$ 406.89

⑦ Sales tax 1,245.00 \$ 87.52
 ⑧ Sales tax 890.00 \$ 60.10

total \$1,069.00
 total owed MSP

Modern Screenprint is owed \$1,069.00, which is our estimation from price list at Bangor Letter Shop. MSP is a good and reputable company, who provides excellent campaign materials. They made the products for our campaign, which were extremely high quality.

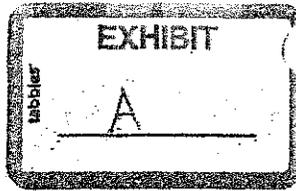
Enclosed is Exhibit # A
 for Invoice Modern Screenprint

This campaign, we allege owes Modern Screenprint \$1,069.00, otherwise this is considered an in-kind contribution.



MODERN SCREENPRINT

69 Hillside Ave., Bangor, Me. 04401 • 945-6284



Invoice

DATE	INVOICE NO.
9/23/2010	69627

SOLD TO
2010 Katz for Senate B. Westview St. Augusta, ME 04330 Bill Browne, Treasurer

SHIP TO

CUSTOMER P.O. NO.	TERMS	SHIP VIA	JOB NUMBER
	Due on receipt	Pick-up	33413

QTY	DESCRIPTION	UNIT PRICE	AMOUNT
500	28"x22" FOLDOVER SIGNS SCORED TO 14"x22" 2	1.69	845.00
500	COLOR IMPRINT METAL SIGN FRAMES	0.80	400.00
		<i>Subtotal</i>	\$1,245.00
		<i>Sales Tax (0.00)</i>	\$0.00
		<i>Pmts.</i>	\$0.00
<i>Sales Tax is charged until a valid Maine Resale Certificate is received.</i>			

Fax Number 207-945-6328	E-mail modernscreen@prodigy.net	Web Site modernscreenprint.com	TOTAL \$1,245.00
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All Orders Subject To A 10% Overrun or Underrun - Industry Allowance.
 A 1.5% Service Charge Per Month Will Be Added On All Balances Remaining After 30 Days (18% A.P.R.)

Received By _____

In this campaign, the Invoice (EXHIBIT A) was only a symptom of all the things that went wrong in this campaign. We allege that Roger Katz appointed a Treasurer, but it was on the forms only. We contend the treasurer was not actively involved in this campaign. According to all the paperwork we have reviewed from Chapter 1 and 4 in the 2010 Candidate Guide to Commission's Candidate Registration form (hardcopy), it clearly states that a candidate must not be the treasurer in the campaign. We firmly believe that new rule was instituted to prevent misreporting by an extra set of eyes, to file the campaign finance reports, to assist the candidate. Since Roger Katz filed all reports and amendments and a large number after the campaign was over gives us the indication that Roger Katz was his own treasurer, which violates the rules and the law.

We were praying throughout Mr. Wayne's investigation that Roger Katz and Buddy Doyle (the two man team in this campaign) would come forward with the truth to the commission, rather than blame MSP. We have taken the brunt of this campaign's wrongdoing by coming forward, to enforce the Maine Clean Elections Act, which we contend is our civil, moral and religious duty, in order to stop violations of the Act. In our faith, we have learned that, "Evil takes over when good men do nothing.", that's where we are coming from. We pray for everyone involved in this investigation.

This case and this investigation is pivotal for the direction this commission goes in, as this will be used in future investigations, as the gold standard. Either we have a clean elections act or not. In this case, it will prove is there two different sets of standards, one for regular people and no set of rules and laws for professional people and those candidates who win their elections. If you have friends at the Ethics Commissioner or your partner is the Chair, you can get off with a mere \$50.00 penalty, for overspending \$1,245,000 which we believe is much higher. This case demands a full audit, for public disclosure. (2)

