

CERTIFICATION OF CANDIDATES FOR STATE OFFICE, GENERAL ASSEMBLY, COUNTY OFFICE AND LOCAL OFFICE

CANDIDATE NAME: Peter Shumlin

ADDRESS: PO Box 5353 TOWN: Burlington STATE: VT ZIP: 05402

TELEPHONE: (802) 399-6285 PARTY AFFILIATION: Democrat

OFFICE SOUGHT (CHECK ONE ONLY):

STATE OFFICE: [X] GOVERNOR [ ] LT. GOVERNOR [ ] TREASURER [ ] SECRETARY OF STATE [ ] AUDITOR [ ] ATTORNEY GENERAL [ ] GENERAL ASSEMBLY: [ ] STATE SENATE [ ] STATE REPRESENTATIVE

RECEIVED

OCT 15 2014

THIS MY REPORT DUE: October 15, 2014 (Fill in date) Secretary of State Elections Office

LOCAL OFFICE: \_\_\_\_\_ THIS IS MY REPORT DUE: [ ] 30 days prior to election. Date filed: \_\_\_\_\_ [ ] 10 days prior to election. Date filed: \_\_\_\_\_ [ ] 14 days after election. Date filed: \_\_\_\_\_ (NOTE: candidates for local office only)

[ ] NO ACTIVITY TO REPORT- There has been no activity in my campaign account since my previously filed report.

ALL CANDIDATES: This report amends one previously filed on: \_\_\_\_\_ (ONLY if changing a PREVIOUSLY FILED report.)

SURPLUS FROM previous campaign TOTAL surplus from 20\_\_ : \$ \_\_\_\_\_ TOTAL CARRYFORWARD to current campaign (surplus - donations + interest =): \$ \_\_\_\_\_ (NOTE: Complete this section ONLY for first report of new campaign cycle if carrying forward surplus funds from a prior campaign)

I HAVE COMPLETED AND ATTACHED THE FOLLOWING FORMS for this reporting period:

- [X] Certification of Candidate - This sheet (REQUIRED) [X] Contribution & Expenditure Summary (As needed) [X] Details of Contributions Over \$100 (As needed) [X] Details of Expenditures (As needed)

[ ] FINAL REPORT: This is my FINAL REPORT for the current Campaign Cycle and closes out my current campaign by indicating the disposition of any surplus or debt, and all contributions and expenditures for this cycle are accounted for. (Only check when filing final report.) Note: A FINAL REPORT is required to close out a campaign. This does NOT mean that your account must be closed.

CHECK ONE ONLY:

- [ ] I have \$ \_\_\_\_\_ surplus from the current campaign and this amount will be carried forward to the new campaign. [ ] Surplus funds from the current campaign in the amount of \$ \_\_\_\_\_ have been donated to the charity, candidate, PAC or political party listed in the attached Details of Expenditures sheet, leaving a balance of \$0.

I hereby certify, under the pains and penalties of perjury, that the information provided on all pages of this campaign finance disclosure report is true and accurate to the best of my knowledge, information and belief.

By checking this box, no signature is needed and you agree to the terms and conditions above under Vermont law. [X]

Date Candidate OR Treasurer Signature Name of person signing form (PRINT)

\*\*A PDF of this report can be sent to campaignfinance@sec.state.vt.us and must be received by 5 PM on the reporting deadline. \*\*

**Name of candidate:** Peter Shumlin

**CONTRIBUTION and EXPENDITURE SUMMARY**

**CONTRIBUTIONS**

*NOTE: Contributions by Candidate or Immediate Family must be included in the Contributions Over \$100 and Contributions \$100 or Less AND must be reported separately in the box at the bottom of this page.*

|                                    |  |              |
|------------------------------------|--|--------------|
| <b>CONTRIBUTIONS OVER \$100.00</b> | (1) Total Contributions for this reporting period: | \$62,460.00  |
|                                    | (2) Total Contributions, Campaign to Date:         | \$753,899.34 |

*NOTE: If you have received contributions over \$100, you will also need to attach the Details of Contributions Over \$100 sheet(s).*

|                                    |   |            |
|------------------------------------|---|------------|
| <b>CONTRIBUTIONS \$100 OR LESS</b> | (3) Total Contributions for this reporting period:    | \$2,183.00 |
|                                    | (4) Number of contributors for this reporting period: | 52         |
|                                    | (5) Total Contributions, Campaign to Date:            | \$9,525.59 |
|                                    | (6) Number of contributors, Campaign to Date:         | 211        |

**GRAND TOTAL OF ALL CONTRIBUTIONS**

|                                  |   |              |
|----------------------------------|---|--------------|
| <b>FOR THIS REPORTING PERIOD</b> | (7) Subtotal of non-monetary (in-kind) contributions:     | \$0.00       |
|                                  | (8) Subtotal of monetary contributions (Lines 1 + 3 - 7): | \$64,643.00  |
|                                  | <b>(9) TOTAL For This Reporting Period (Lines 7 + 8):</b> | \$64,643.00  |
| <b>CAMPAIGN TO DATE</b>          | (10) Subtotal of non-monetary (in-kind) contributions:    | \$13,978.46  |
|                                  | (11) Subtotal of monetary contributions (Lines 2 + 5):    | \$763,324.84 |
|                                  | <b>(12) TOTAL, Campaign to Date (Lines 10 + 11):</b>      | \$777,303.30 |

**EXPENDITURES**

|  |   |              |
|--|---|--------------|
| <b>GRAND TOTAL OF ALL EXPENDITURES</b> | <b>TOTAL For This Reporting Period:</b> | \$235,982.94 |
|  | <b>TOTAL, Campaign to Date:</b>         | \$548,348.98 |

*NOTE: If you have made expenditures for this reporting period, you will need to attach the Details of Expenditures sheet(s).*

**LOANS OR OTHER DEBT**

|   |  |        |
|---|--|--------|
| <b>TOTAL PRIVATE LOANS OR OTHER OBLIGATIONS CURRENTLY OUTSTANDING</b> | Total Loans For This Reporting Period: | \$0.00 |
|   | Total Loans, Campaign to Date:         | \$0.00 |
| <b>TOTAL DEBT/OBLIGATIONS FORGIVEN</b>                                | Total Loans For This Reporting Period: | \$0.00 |
|   | Total Loans, Campaign to Date:         | \$0.00 |

*NOTE: If you have loans or other debt outstanding or that has been forgiven, you will need to attach the Details of Loans/Other Obligations sheet(s).*

**CONTRIBUTIONS BY CANDIDATE OR IMMEDIATE FAMILY**

|  |            |
|--|------------|
| Total Contributions for this reporting period: | \$0.00     |
| Total Contributions, Campaign to Date:         | \$2,050.00 |

*NOTE: The contributions by Candidate or Immediate Family must also be included in the Contributions Over \$100 and Contributions \$100 or Less figures above.*

**CAMPAIGN FINANCE DISCLOSURE FORM - DETAILS OF CONTRIBUTIONS OVER \$100.00** Page 1 of 4

| Date of Contribution | Amount of Contribution | Contributor's Total Contributions to Date | Name of Contributor                          | Address                            | Town/City     | State | ZIP        | If In-kind Contribution, Please Describe | Town of Residence |
|----------------------|------------------------|---|--|------------------------------------|---------------|-------|------------|--|-------------------|
| 10/08/2014           | \$250.00               | \$250.00                                  | Bette Abrams                                 | 173 Wocell Dr                      | Guilford      | VT    | 05301-8040 |  |                   |
| 10/10/2014           | \$2,000.00             | \$2,000.00                                | American Beverage Association                | 1101 Sixteenth St. NW              | Washington    | DC    | 20036      |  |                   |
| 10/01/2014           | \$1,000.00             | \$1,000.00                                | Anne Berndt                                  | PO Box 99                          | Sharon        | VT    | 05065-0099 |  |                   |
| 10/10/2014           | \$2,000.00             | \$2,000.00                                | Trudi Brock                                  | 1382 Krivak Rd                     | Sharon        | VT    | 05065-6707 |  |                   |
| 10/08/2014           | \$300.00               | \$300.00                                  | Jay Canning                                  | 50 Southwind Dr                    | Burlington    | VT    | 05401-5474 |  |                   |
| 10/01/2014           | \$500.00               | \$500.00                                  | CCA of Tennessee, LLC                        | 18 Burton Hills Blvd               | Nashville     | TN    | 37215-6105 |  |                   |
| 10/08/2014           | \$1,000.00             | \$1,000.00                                | CHP Opportunity I, LP                        | 75 Meigs Road                      | Vergennes     | VT    | 05491      |  |                   |
| 10/13/2014           | \$2,000.00             | \$2,000.00                                | Civitas Public Affairs Group LLC             | 409 7th St. NW Suite 350           | New York      | NY    | 10004      |  |                   |
| 10/09/2014           | \$1,000.00             | \$2,000.00                                | Edward W. Clark Jr.                          | PO Box 2                           | Guildhall     | VT    | 05905-0002 |  |                   |
| 10/01/2014           | \$2,000.00             | \$2,000.00                                | Coca-Cola - Bottling Company of Northern New | One Executive Park Drive Suite 330 | Bedford       | NH    | 03110      |  |                   |
| 10/14/2014           | \$250.00               | \$350.00                                  | Art Crowley                                  | 7 Hill Pond Rd                     | Rutland       | VT    | 05701-3751 |  |                   |
| 10/14/2014           | \$2,000.00             | \$2,000.00                                | Designbook                                   | 159 Bank Street Suite 202          | Burlington    | VT    | 05401      |  |                   |
| 10/02/2014           | \$2,000.00             | \$2,000.00                                | Encore Redevelopment, LLC                    | 110 Main Street, Suite 2E          | Burlington    | VT    | 05401      |  |                   |
| 10/08/2014           | \$2,000.00             | \$2,000.00                                | Benjamin Ernst                               | 39 E 12th St                       | New York      | NY    | 10003      |  |                   |
| 10/10/2014           | \$2,000.00             | \$2,000.00                                | Georgia Mountain Company Wind, LLC           | 94 Harvest Ln                      | Williston     | VT    | 05495      |  |                   |
| 10/06/2014           | \$2,000.00             | \$2,000.00                                | Eva Guite                                    | 47 Grenville Rd                    | Greenwich     | CT    | 06831      |  |                   |
| 10/01/2014           | \$2,000.00             | \$2,000.00                                | J. Alexander Heslin                          | 179 Columbia St                    | Brooklyn      | NY    | 11231-1401 |  |                   |
| 10/14/2014           | \$2,000.00             | \$2,000.00                                | Barbarina Fagan Heyerdahl                    | 889 Harbor Rd                      | Shelburne     | VT    | 05482-7606 |  |                   |
| 10/08/2014           | \$1,000.00             | \$1,000.00                                | Horizon Investment Partners VII LLC          | 451 Jackson St.                    | San Francisco | CA    | 94111-1615 |  |                   |

Name of candidate or PAC: Shumlin for Governor

**CAMPAIGN FINANCE DISCLOSURE FORM - DETAILS OF CONTRIBUTIONS OVER \$100.00** Page 2 of 4

| Date of Contribution | Amount of Contribution | Contributor's Total Contributions to Date | Name of Contributor               | Address                           | Town/City        | State | ZIP        | If in-kind Contribution, Please Describe | Town of Residence |
|----------------------|------------------------|---|-----------------------------------|-----------------------------------|------------------|-------|------------|--|-------------------|
| 10/13/2014           | \$500.00               | \$500.00                                  | Thomas Huebner                    | 6 Lamontagne Ln                   | Rutland          | VT    | 05701-3782 |  |                   |
| 10/09/2014           | \$250.00               | \$250.00                                  | Phil Huffman                      | 560 Brook Rd                      | Waitsfield       | VT    | 05673-7403 |  |                   |
| 10/14/2014           | \$100.00               | \$300.00                                  | JB Kennedy Associates, LLC        | 28 Victoria Dr                    | South Burlington | VT    | 05403-6627 |  |                   |
| 10/06/2014           | \$50.00                | \$150.00                                  | Justin Johnson                    | 49 Wellington St                  | Barre            | VT    | 05641-2934 |  |                   |
| 10/13/2014           | \$100.00               | \$150.00                                  | Justin Johnson                    | 49 Wellington St                  | Barre            | VT    | 05641-2934 |  |                   |
| 10/13/2014           | \$100.00               | \$200.00                                  | Peter Kunin                       | 21 Pheasant Way                   | South Burlington | VT    | 05403-7806 |  |                   |
| 10/01/2014           | \$500.00               | \$500.00                                  | Leader Distribution Systems, Inc. | PO Box 8285                       | Brattleboro      | VT    | 05304      |  |                   |
| 10/01/2014           | \$250.00               | \$250.00                                  | John Leader                       | 456 Westminster Rd                | Putney           | VT    | 05346-8816 |  |                   |
| 10/01/2014           | \$250.00               | \$250.00                                  | Marcia Leader                     | 456 Westminster Rd.               | Putney           | VT    | 05346      |  |                   |
| 10/08/2014           | \$500.00               | \$500.00                                  | David Lewis                       | PO Box 4511                       | Burlington       | VT    | 05406-4511 |  |                   |
| 10/08/2014           | \$1,000.00             | \$1,000.00                                | Lorillard Tobacco Company         | 714 Green Valley Rd. PO Box 10529 | Greensboro       | NC    | 27404      |  |                   |
| 10/07/2014           | \$1,000.00             | \$1,000.00                                | Evelyn Lovett                     | 341 Windmill Hill Rd N            | Putney           | VT    | 05346-9808 |  |                   |
| 10/13/2014           | \$1,000.00             | \$1,000.00                                | LPAC                              | 601 13th St. NW Ste. 730N         | Washington       | DC    | 20005      |  |                   |
| 10/01/2014           | \$250.00               | \$250.00                                  | Andrew MacLean                    | 531 Twin Peaks Rd.                | Waterbury Center | VT    | 05677      |  |                   |
| 10/02/2014           | \$1,000.00             | \$1,000.00                                | McNeil, Leddy & Sheahan, Inc.     | 271 South Union St.               | Burlington       | VT    | 05401      |  |                   |
| 10/10/2014           | \$2,000.00             | \$2,000.00                                | Diana Meehan                      | PO Box 1066                       | Somis            | CA    | 93066      |  |                   |
| 10/08/2014           | \$250.00               | \$250.00                                  | Stephan Morse                     | PO Box 218                        | Newfane          | VT    | 05345      |  |                   |
| 10/02/2014           | \$2,000.00             | \$2,000.00                                | Mount Snow Ltd.                   | 12 Mount Snow Rd.                 | West Dover       | VT    | 05356      |  |                   |
| 10/01/2014           | \$2,000.00             | \$3,000.00                                | MYPAC Mylan Inc. PAC              | 1401 K Street NW - Suite 800      | Washington       | DC    | 20005      |  |                   |

Name of candidate or PAC: Shumlin for Governor

**CAMPAIGN FINANCE DISCLOSURE FORM - DETAILS OF CONTRIBUTIONS OVER \$100.00** Page 3 of 4

| Date of Contribution | Amount of Contribution | Contributor's Total Contributions to Date | Name of Contributor                      | Address                           | Town/City       | State | ZIP        | If In-kind Contribution, Please Describe | Town of Residence |
|----------------------|------------------------|---|--|-----------------------------------|-----------------|-------|------------|--|-------------------|
| 10/08/2014           | \$500.00               | \$500.00                                  | NORML PAC                                | 1600 K Street NW Ste 501          | Washington      | DC    | 20006      |  |                   |
| 10/14/2014           | \$1,000.00             | \$1,000.00                                | NRA - Political Victory Fund             | 11250 Waples Mill Rd.             | Fairfax         | VA    | 22030      |  |                   |
| 10/14/2014           | \$1,000.00             | \$1,000.00                                | P&R Associates, LLC                      | 353 Park Laughton Rd              | East Dummerston | VT    | 05346-9579 |  |                   |
| 10/02/2014           | \$2,000.00             | \$2,000.00                                | Teresa R. Pete                           | 730 Whalley Rd                    | Charlotte       | VT    | 05445-9529 |  |                   |
| 10/13/2014           | \$200.00               | \$450.00                                  | Duane Peterson II                        | 38 Wildwood Dr                    | Essex Junction  | VT    | 05452-3816 |  |                   |
| 10/10/2014           | \$1,000.00             | \$2,000.00                                | RAI Services Company                     | PO Box 464                        | Winston Salem   | NC    | 27102      |  |                   |
| 10/09/2014           | \$200.00               | \$200.00                                  | David Raphael                            | 234 Old Stage Rd                  | Essex Junction  | VT    | 05452-2522 |  |                   |
| 10/01/2014           | \$200.00               | \$200.00                                  | Chris Rice                               | 30 Mansfield Ln.                  | Barre           | VT    | 05641      |  |                   |
| 10/03/2014           | \$2,000.00             | \$2,000.00                                | Rivada Networks                          | 245 Park Avenue 39th Floor        | New York        | NY    | 10167      |  |                   |
| 10/14/2014           | \$100.00               | \$1,000.00                                | Robert Sand                              | 18 High St                        | Woodstock       | VT    | 05091-1310 |  |                   |
| 10/14/2014           | \$2,000.00             | \$2,000.00                                | Margaret Schmidt                         | 147 Plymouth Rd                   | Newton          | MA    | 02461-1033 |  |                   |
| 10/11/2014           | \$100.00               | \$150.00                                  | Brian R. Searles                         | 143 Cumberland Rd                 | Burlington      | VT    | 05408-2473 |  |                   |
| 10/08/2014           | \$2,000.00             | \$2,000.00                                | Smith Dawson and Andrews Inc.            | 1150 Connecticut Ave. NW Ste 1025 | Washington      | DC    | 20036      |  |                   |
| 10/02/2014           | \$2,000.00             | \$2,000.00                                | James Smith                              | 3339 Stephenson Pl NW             | Washington      | DC    | 20015-2451 |  |                   |
| 10/08/2014           | \$250.00               | \$250.00                                  | Jill Spiro                               | PO Box 218                        | Newfane         | VT    | 05345      |  |                   |
| 10/08/2014           | \$1,000.00             | \$1,000.00                                | Henry Van Van Ameringen                  | 37 W 12th St Apt 11E              | New York        | NY    | 10011-8559 |  |                   |
| 10/06/2014           | \$2,000.00             | \$2,000.00                                | Vermont National Telephone Company, Inc. | 354 River St                      | Springfield     | VT    | 05156      |  |                   |
| 10/06/2014           | \$2,000.00             | \$2,000.00                                | Vermont Telephone Company, Inc.          | 354 River St                      | Springfield     | VT    | 05156      |  |                   |
| 10/14/2014           | \$500.00               | \$1,000.00                                | VT Renewable Energy Political Action     | 33 Court St.                      | Montpelier      | VT    | 05602      |  |                   |

Name of candidate or PAC: Shumlin for Governor

**CAMPAIGN FINANCE DISCLOSURE FORM - DETAILS OF CONTRIBUTIONS OVER \$100.00** **Page 4 of 4**

| Date of Contribution | Amount of Contribution | Contributor's Total Contributions to Date | Name of Contributor | Address             | Town/City   | State | ZIP        | If In-kind Contribution, Please Describe | Town of Residence |
|----------------------|------------------------|---|---------------------|---------------------|-------------|-------|------------|--|-------------------|
| 10/06/2014           | \$2,000.00             | \$2,000.00                                | VTEL Wireless, Inc. | 354 River Street    | Springfield | VT    | 05156      |  |                   |
| 10/12/2014           | \$10.00                | \$200.00                                  | John Wilmerding     | 219 High St Apt 201 | Brattleboro | VT    | 05301-6073 |  |                   |

Name of candidate or PAC: Shumlin for Governor

**CAMPAIGN FINANCE DISCLOSURE REPORT - DETAILS OF EXPENDITURES Page 1 of 1**

Note: Expenditures occur on both a cash basis and an accrual basis; report whichever occurs first. You must report expenses when promised to be paid or when payment is disbursed whichever occurs first. 17 V.S.A. 2801(3)

| Date of Expenditure | Amount of Expenditure | To Whom Paid                    | Address                  | Town/City      | State | ZIP   | Purpose of Expenditure |
|---------------------|-----------------------|---------------------------------|--------------------------|----------------|-------|-------|------------------------|
| 10/01/2014          | \$3,539.91            | Scott Coriell                   | 92 Overlake Park         | Burlington     | VT    | 05401 | Payroll                |
| 10/03/2014          | \$293.51              | First Data                      | 1200 Montego Way         | Walnut Creek   | CA    | 94598 | Online processing fee  |
| 10/09/2014          | \$43,824.51           | Klose Communications            | 5600 Nebraska Avenue, NW | Washington     | DC    | 20015 | Advertising services   |
| 10/02/2014          | \$80,054.00           | Media Strategies                | 11150 Fairfax Blvd.      | Fairfax        | VA    | 22030 | TV Advertising         |
| 10/09/2014          | \$80,054.00           | Media Strategies                | 11150 Fairfax Blvd.      | Fairfax        | VA    | 22030 | TV Advertising         |
| 10/01/2014          | \$1,465.89            | Pay Data Payroll Services, Inc. | PO Box 706               | Essex Junction | VT    | 05453 | Payroll taxes          |
| 10/01/2014          | \$39.82               | Pay Data Payroll Services, Inc. | PO Box 706               | Essex Junction | VT    | 05453 | Payroll services       |
| 10/10/2014          | \$13.00               | Pay Data Payroll Services, Inc. | PO Box 706               | Essex Junction | VT    | 05453 | Payroll services       |
| 10/03/2014          | \$10.00               | Paymantech                      | PO Box 6600              | Hagerstown     | MD    | 21741 | Online processing fee  |
| 10/02/2014          | \$25.00               | People's United Bank            | 2 Burlington Square      | Burlington     | VT    | 05402 | Wire transfer fee      |
| 10/03/2014          | \$266.60              | People's United Bank            | 2 Burlington Square      | Burlington     | VT    | 05402 | Process fee            |
| 10/03/2014          | \$15.70               | People's United Bank            | 2 Burlington Square      | Burlington     | VT    | 05402 | Bank fee               |
| 10/06/2014          | \$15.00               | People's United Bank            | 2 Burlington Square      | Burlington     | VT    | 05402 | Wire transfer fee      |
| 10/09/2014          | \$25.00               | People's United Bank            | 2 Burlington Square      | Burlington     | VT    | 05402 | Wire transfer fee      |
| 10/03/2014          | \$280.00              | Skinny Pancake                  | 60 Lake St. Suite 1A     | Burlington     | VT    | 05401 | Event catering         |
| 10/14/2014          | \$22,000.00           | The Feldman Group               | 508 8th St. SE           | Washington     | DC    | 20003 | Research               |
| 10/03/2014          | \$61.00               | United States Postal Service    | 11 Elmwood Ave.          | Burlington     | VT    | 05402 | Box renewal fee        |
| 10/01/2014          | \$4,000.00            | Wolffing Consulting, LLC        | PO Box 642               | Montpelier     | VT    | 05601 | Fundraising consulting |

Name of candidate or PAC: Shumlin for Governor