BACKGROUND

The N.C. State Board of Elections (NCSBE) is an independent and bipartisan agency charged with oversight of elections in North Carolina. Advances in database technology and data quality and the formation of an in-house investigative team now allow the agency to develop audits that flag irregularities for review by investigators. These “post-election integrity audits” compare voter and election records with various government databases to identify potentially ineligible voters and irregularities, ranging from unintentional violations to intentional voter fraud and elections tampering. [Appendix 1: Audit Descriptions]

Conducting integrity audits requires NCSBE to walk an extremely tight line: Preserving processes that ensure broad access to the polls while preventing unlawful participation. Data cannot tell the whole story and audit results must be analyzed carefully by those who know the limitations of individual data sources. Data analysts work alongside trained investigators with prior experience in state and federal law enforcement to review cases before drawing conclusions or involving prosecutors.

State law requires our agency to investigate “frauds and irregularities in elections” and to report violations to the attorney general or district attorneys. [Appendix 2: G.S. § 163-22(d)]

NCSBE takes seriously its uniquely independent position to address allegations of fraud in the state through responsible, data-driven investigations. In 2015, this agency created a formal Investigations Division — one of a few of its kind in the nation — to review allegations related to elections and refer them to prosecutors when warranted by evidence.

State and federal elected officials, journalists and everyday citizens have requested information regarding cases of fraud or investigations following the 2016 elections. [Appendix 3: Congressional Letter]

Rather than providing information on a one-off basis, NCSBE staff prepared this report, which is intended to provide an overview of audits, findings and investigations related to the 2016 general election in North Carolina, while offering context necessary to avoid misinterpretation. Where possible, this report also provides numbers of voters who investigators are reviewing or who investigators have concluded were not eligible to participate.

Irregularities occur in small percentages in nearly every election, and North Carolina is not immune to this. Administrative error and misunderstanding should be distinguished from systemic manipulation or intentional fraud. However, NCSBE understands that whether an irregularity is administrative, unintentional or intentional, the end result is an ineligible vote that dilutes votes lawfully cast by eligible voters.

Even assuming all ineligible ballots identified in this report were cast for the prevailing candidate, no races — statewide or local — would have had a different outcome than the one already certified by the state.
SUMMARY

Nearly 4.8 million N.C. voters participated in the 2016 general election, the largest number in state history. It is important to recognize that suspected cases of ineligible voters casting ballots and/or committing fraud represent a tiny fraction of that number.

The following data points summarize the results of post-election audits from the 2016 general election:

- **441 open cases of voting by suspected active felons.** The State Constitution disqualifies current felons from voting until their sentence is completed, including probation or parole. Investigators were able to rule out more than 100 voters initially flagged as ineligible through the audit, further supporting the need for investigative review of data audits. These new processes are being implemented to ensure those serving felony sentences do not remain on the voter rolls and that all registrants are checked against the current felons’ database at the time of registration. New processes fill gaps in the list maintenance process outlined in G.S. § 163-82.14(c).

- **41 non-citizens with legal status (green card, etc.) cast ballots.** The State Constitution only permits U.S. citizens to register and to vote. The audit pairing state and federal databases identified an additional 34 voters who provided documents showing they are U.S. citizens. Investigators continue to review 61 additional records.

- **24 substantiated cases of double-voting initiated through tips and data audits.** An initial audit identified a few dozen additional voter records that remain under review, though administrative errors by poll workers can lead to voter history being assigned to the wrong people; this may lead to false positives in audits that can only be detected by more detailed review.

- **Two cases of voter impersonation referred to prosecutors.** NCSBE is conducting additional review using death data and double-voting audits to identify whether additional cases should be investigated. Of the two cases referred, one involves voting by mail, and the other involves voting in person. Both involve family members voting in the place of a recently deceased loved one, forgery of the deceased voter’s signature, and subsequent admissions to investigators. [Appendix 4: Admission Letters]

- **Irregularities affecting absentee by-mail voting in Bladen County.** The State Board voted unanimously late last year to refer an investigation into suspected criminal activity to federal prosecutors.

- **No evidence of ballot stuffing or equipment tampering.** NCSBE was among the first states to partner with the U.S. Department of Homeland Security in an effort last year to prevent cyber hacking. A separate audit of voting systems logs presented no evidence of administrative fraud, including in Durham County (where an investigation in the March primary was referred to local prosecutors).

[Appendix 5: Breakdown of Voting Irregularities by Type, Party Affiliation of Voters]
All numbers above are subject to change based on ultimate investigative findings.

A provisional ballot audit resulted in 428 ballots of eligible voters being counted that would not otherwise have counted. The audit was performed to ensure uniformity and compliance with election laws among the 100 county boards of election. [Appendix 1: Audit Descriptions]

FELONS

Under G.S. § 163-275(5), it is a Class I felony “for any person convicted of a crime which excludes the person from the right of suffrage, to vote . . . without having been restored to the right of citizenship.”

NCSBE initiates investigations into possible cases of felons voting through a system of data audits followed by investigator review, referrals from county boards of elections and tips from the public.

In late January 2017, NCSBE sent letters to suspected felon voters identified through data audits, notifying recipients that they may have illegally voted and that their registrations would be canceled in 30 days unless they objected in writing and presented evidence that they are not active felons. See G.S. §§ 163-82.14(c)(3) and 163-82.14(e) [Appendix 6: Sample Letter to Suspected Felon Voters]

Some suspected felons provided information showing they were not active felons (they had completed their sentences, been convicted of a misdemeanor or received a deferred prosecution, for example), and were eligible to vote. Others told investigators that they did not know they had lost their voting rights upon conviction.

Currently, 441 files of suspected felon voters remain open after an initial screening and contacts or attempted contacts with the voters.

Investigators have begun referring investigation reports regarding felons to local prosecutors. To date, 16 substantiated cases from the 2016 general election have been referred to district attorneys. The remaining 425 are expected to be referred when investigations are complete. Under state law, felon voting is a strict liability offense, and thus a felon may be convicted of a crime even if he or she does not know that voting while serving an active sentence is wrongful.

Updated voter lists help prevent individuals from unintentional violations. An individual may, for instance, legally register to vote before becoming a felon and then appear at the polls while on probation. Such a person may not understand they are ineligible. NCSBE has reexamined its registration and list maintenance processes and is taking significant steps to discourage unlawful participation by current felons. NCSBE’s efforts include:
• Working with public safety officials and the court system to ensure that convicted felons are expressly notified that they lose their voting rights upon conviction, and regain them only after completing their sentence, including probation and parole. Certain suspects claimed they were never informed of the restriction. An initial review of associated plea agreements and contact with probation personnel indicate there is room to improve education around voting rights. [Appendix 7: Letter to DPS/AOC on Felons]

• Increasing data-sharing between local election officials to ensure a felon removed in one county does not re-register in another county, unless his or her sentence is complete. Though the past system followed the requirements of G.S. § 163-82.14(c), a gap in the legacy voting data system may have allowed some active felons to register or to re-register without being detected. Additional felons who did not vote in the general election were recently removed from the voter rolls, closing that gap. These removals followed the notice sent to felons by mail and waiting period required under state law. Fixing the gap and educating affected voters will reduce the opportunity for unintentional violations. It also will improve the likelihood of successful prosecutions against willful offenders.

• Updating elections software to check felon status at the time of registration. The improved system is being coded and will roll out statewide this summer, substantially improving the maintenance efforts through current technologies and new data-sharing relationships.

• Adding checkboxes to voter forms to ensure participants are aware of voter qualifications, including the restriction on current felons. [Appendix 8: New Voter Forms]

• Educating the public about voting requirements through NCSBE website, outreach events, news releases, social media and other means.

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NON-CITIZENS

The N.C. Constitution allows only U.S.-born and naturalized citizens to register and vote. It is unlawful for a non-citizen to register or vote in a state or federal election.

A separate post-election audit and post-audit investigation using state and federal databases identified non-U.S. citizens suspected of casting ballots in the general election. Upon receipt of a letter from NCSBE, 41 of these individuals acknowledged they were not U.S. citizens. [Appendix 9: Sample Letter to Possible Non-U.S. Citizen Voters]. The investigation into these cases, including interviewing voters, is ongoing.

All cases involve documented non-citizens who were admitted into the country lawfully. All individuals subject to this audit were matched to the Department of Homeland Security’s database using information obtained from the N.C. Division of Motor Vehicles (DMV).
NCSBE research shows the 41 non-citizen voters originally came from 28 different countries. [Appendix 10: Breakdown of Non-U.S. Citizen Voters by Country of Origin]

This audit, detailed in Appendix 1, identified 61 additional voters who did not respond to the letter, and investigations into those cases continue as well. And 34 voters, tagged by the same audit, subsequently provided proof of citizenship, highlighting the fact that data matches alone are not sufficient to verify citizenship or to take action against the voters without follow-up investigations.

Information obtained from those who are not citizens illustrates the complexity of this work. A number of non-citizens said they were not aware that they were prohibited from voting. Interviews and evidence show that some non-citizens were misinformed about the law by individuals conducting voter registration drives or, in at least one documented case, by a local precinct official. One registrant in her 70s has lived in the United States for more than 50 years and believed that she was a citizen because she had been married to a U.S. citizen.

Investigations on non-citizen cases also have revealed the complexities of immigration law and citizenship status. For instance, some individuals achieve citizenship as a matter of law through “derived citizenship” as the child of a naturalized citizen, though paperwork showing that changed status is only available if requested and official databases may not reflect the correct status. An Application for Certificate of Citizenship costs $1,170. Individual contact with affected registrants has also illustrated the limitations of the data. Even where data from the Division of Motor Vehicles, the U.S. Department of Homeland Security and the voter rolls matched exactly, a high proportion of flagged individuals were citizens. [Appendix 1: Audit Descriptions]. For this reason, it is important to take a case-by-case approach to these matters.

As with felons, education and understanding of state law appear to be the primary problem. Consequently, warnings on voter registration forms and voting documents are being reviewed to improve their effectiveness. [Appendix 8: Revised Voter Forms]. NCSBE is working with the Division of Motor Vehicles to more clearly indicate that registrants must be U.S. citizens. Additionally, NCSBE is developing additional poll worker training to address the nuances with terms like “permanent resident” and “green card” so that poll workers are better equipped to assist voters who are uncertain about their eligibility.

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DOUBLE VOTERS & IMPERSONATION

So-called double voters violate state and federal law by voting more than one time in a single election. A suspect may do so by voting multiple times within the same jurisdiction or in different jurisdictions. NCSBE is currently investigating 24 substantiated cases of double-voting from the 2016 general election.
North Carolina maintains a strong system that checks for this behavior throughout voting, whether through the mail, at early voting locations, or in the precinct on Election Day. However, variations in voter information or human error can allow a double voter to go undetected until more nuanced investigation is performed. Some violators appear to be “testers” trying to find holes in the system. Others claim their property ownership in multiple jurisdictions should allow them to vote in each, and others brush past the law to support their candidate by any means necessary. Additionally, a case that initially appears to be a double voter — an individual who votes twice — may actually be a case of voter impersonation — an individual who casts a ballot using the identity of another person.

Detecting double voting and voter impersonation is a time-intensive process. Database matching is not enough, as administrative errors can lead to voter history being assigned to the wrong person — such as when a poll worker checks off the wrong name on the poll book. Instead, data is only the starting point for cases that ultimately involve live interviews and signature analyses. NCSBE has begun that process on possible in-state double voting cases in 2016. This initial review of NC voter registration records indicates that there are a few dozen possible additional cases of double voting; however, this process is still in its preliminary stages and staff have not yet completed review of voter documents to determine whether the match was due to administrative error rather than illegal voting.

NCSBE rarely encounters verified cases of voter impersonation, though two cases are being referred to prosecutors from the election last fall. In one instance, a widow voted by mail after allegedly forging her husband’s signature in the presence of relatives. In the second instance, a daughter allegedly presented in person to vote in the name of her deceased mother. The suspects in each case indicated that they were motivated out of a desire to carry out their loved one’s voting wishes.

[Appendix 4: Admission Letters]. NCSBE is conducting additional audits using state and federal death databases and screening algorithms to review 19 cases in which records indicate a date of death earlier than the date on which records indicate that person voted. An initial review of the voter registration documents indicates that a number of these are likely cases of mistaken identity rather than voter fraud where, for example, the death record was for a “John Smith Sr.” and the voter record was for a “John Smith Jr.”

While no audit exists to catch all possible cases of voter impersonation, double voter and deceased voter audits may detect such cases. State law puts additional deterrents in place. They include requiring identification documents from (1) voters whose information cannot be verified or who wish to register and vote on the same day during the early voting period, (2) requiring voters to state their name and address, and (3) requiring
two witness signatures or a notarial certificate on absentee return envelopes.¹

Also, since 2014, NCSBE has used data from the Interstate Crosscheck Program as a tool to help identify voters who vote in more than one state in the same election. Administered by the Kansas Secretary of State’s office, the program identifies possible duplicate registrations among states and provides evidence of possible double voting. NCSBE recently received the program’s data for 2016 and will examine it in the coming months.

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**NEXT STEPS**

NCSBE continues to investigate voting irregularities from the 2016 general election and will refer cases to prosecutors where appropriate. Findings from post-election audits and subsequent investigations allow NCSBE to pinpoint which policies are best suited to improving electoral integrity in the state. For example, because this agency knows that many irregularities occurred because of a lack of information and education, we know to direct our efforts to better educating registrants and those who help citizens register to vote. This agency stands ready to help policymakers, advocacy organizations, media representatives, and the general public understand the topic of voting irregularities and provide information that will help them draw accurate and appropriate conclusions.

This agency strongly cautions readers not to refer to each of these cases as “voter fraud.” As stated earlier, “ineligible voters casting ballots” may be the result of unintentional or intentional conduct. Fraud, in most cases, is an intent crime that requires prosecutors to show that the voter knowingly committed a crime.

_The evidence suggests that participation by ineligible voters is neither rampant nor non-existent in North Carolina. Our audits suggest that in the 2016 general election, approximately 0.01% of ballots were cast by ineligible voters. Most incidents are isolated and uncoordinated, and detecting technical violations does not always prove purposefully unlawful conduct. Our work indicates that ineligible voters are not isolated to one political party or any geographical region of the state._

When people do vote unlawfully, either out of ignorance or to perpetrate a fraud, NCSBE now has procedures in place to detect and investigate those incidents and refer potential criminal cases to prosecutors where warranted. North Carolina has made tremendous advances in data analysis and investigation tactics, and NCSBE remains committed to improving elections administration responsibly by integrating new data streams into its processes, where appropriate. The report reflects our agency’s commitment to public transparency, the rule of law, and our mission to promote access to the polls and the vigilance necessary to preserve the credibility of electoral outcomes.

¹ A federal court enjoined additional identification and registration requirements under S.L. 2013-381 on July 29, 2016.
APPENDIX 1

Audit Descriptions

Overview

The following audits are designed to ensure election integrity by maintaining accurate voter rolls and proper oversight of election processes. Audits take various forms and are crafted to identify data anomalies that could indicate potential issues or problems, while supporting the N.C. State Board of Elections' goal of uniformity and compliance across 100 counties.

The audits have detected instances in which ineligible voters are suspected of casting ballots in the 2016 general election. NCSBE has developed a thorough process to investigate these cases and, when warranted, refer them to prosecutors across the state to consider criminal charges. NCSBE understands that some of these cases will be prosecuted and others will not, based on the unique circumstances of each case.

It is important to note that data used to identify suspected ineligible voters, like all data, is not perfect and matches require further analysis and investigation. This agency has taken great care to ensure that no one is publicly accused of any crime or referred to prosecutors without evidence that a crime was committed and that referral for prosecution is warranted.

Felon Audit

Under state law, it is a Class I felony “for any person convicted of a crime which excludes the person from the right of suffrage, to vote . . . without having been restored to the right of citizenship.”

After an election, the N.C. State Board of Elections checks the state’s voter registration database against a list of current felons from the N.C. Department of Public Safety. This analysis cross-checks dates of birth and driver’s license numbers between the two databases. When a match occurs, NCSBE reviews voting history to determine whether the individual may have cast a vote while serving a felony sentence.

If an active felon appears to have voted, NCSBE investigators then refer to an additional criminal records database, the Criminal Justice Law Enforcement Automated Data Services (CJLEADS), for further verification. The resulting matches from this second check may then be followed up with interviews, mailings and other traditional investigative methods.

If a current felon appears to be improperly registered, county boards of elections may proceed to remove the registration following notice and hearing, if requested, as required by state law.

Non-U.S. Citizen Audit

The N.C. Constitution allows only U.S.-born and naturalized citizens to register and vote, and it is unlawful for a non-citizen to vote in a state or federal election. To identify non-U.S. citizens who may have cast ballots, NCSBE first checks voter records against N.C. Division of Motor Vehicles (DMV) data, which indicates whether a customer’s driver’s license contains a restriction code related to their non-citizen status. Other DMV tables are then cross referenced to determine if evidence of citizenship was provided in a subsequent visit to the DMV.
The resulting matches are run through the U.S. Department of Homeland Security’s Systematic Alien Verification for Entitlements Program (SAVE) database, an information service for agencies to verify an individual’s immigration status.

NCSBE has determined based on past experience that a match with the SAVE database is not a reliable indicator that a person is not a U.S. citizen because the database is not always updated in a timely manner and individuals who derived citizenship from their parents through naturalization or adoption may show up as non-citizens in SAVE.

Also, due to timing issues and the fact that DMV data is generally updated only when licenses are issued, DMV data alone is not reliable for this purpose either. **In fact, voters who appear to be non-citizens based on DMV data were confirmed to be U.S. citizens in the SAVE database 97.6 percent of the time.**

If SAVE indicates a voter is a non-citizen, NCSBE opens a case file and attempts to contact the voter to determine citizenship status through mailings and interviews. Because of the unreliability of citizenship data, voters who appear to be non-citizens — where both data sources indicate non-citizenship status — are not removed from the rolls, absent independent confirmation that they are not citizens. In fact, approximately three-quarters of those who subsequently provide proof of U.S. citizenship continued to appear as non-citizens in the SAVE database.

**Manual Entry Audit**

County election officials occasionally must enter election results by hand directly into the vote tabulation software. This may occur, for example, due to a media card failure. This audit can catch inadvertent mistakes in transcribing numbers, as well as purposeful manipulation of data. After the 2016 election, the NCSBE identified all manual entries that occurred in November across the state. Data analysts then reached out to the counties to identify the reasons for the manual entries. NCSBE determined all manually entries were done for valid purposes. In the future, manual entry audits will include an automated process able to detect transcription errors in real time as results are entered by hand. This change, still under development, will help ensure the accuracy of manual entries made in future elections.

**Voter History Audit**

When voters check in at polling places, they fill out authorization to vote (ATV) forms or one-stop applications during early voting. This results in a voter history record for each individual. When ballots are run through tabulators, tabulation software provides election return data that identifies the number of ballots cast. This audit compares the number of ATV forms and one-stop applications with the number of physical ballots cast. Those two numbers should generally match, but may be slightly off for valid reasons, such as if a voter checks in and then decides not to vote.

This audit is designed to identify certain problems or fraud, such as ballot stuffing, fraudulent manual entries, tampering with media cards or certain ballot coding issues.

**Provisional Ballot Audit**

Voters cast provisional ballots when questions arise about their qualifications or eligibility to vote in certain contests. Those ballots are held aside pending research by county boards of elections as to whether they should be counted.
This audit is aimed at ensuring all 100 counties make uniform decisions that comply with election laws when counting provisional ballots. It compares provisional voter data to several data sources, including the DMV database, an incomplete queue that catalogs registration attempts that were deemed incomplete and the current registration database as of Election Day. Data analysts execute matching algorithms to determine whether provisional voters were eligible to vote in the counties where they presented to vote. Additionally, two web services are used to geocode the voters’ addresses to confirm that they resided in the county at the time they voted. Audit results are sent to county boards of elections, which analyze them and, where appropriate, amend their canvasses to reflect any changes.

For the 2016 general election, this audit resulted in 428 voters statewide whose provisional ballots were counted in accordance with current election law. Those ballots wouldn’t have been counted otherwise.
APPENDIX 2

G.S. § 163-22(d)


(d) The State Board of Elections shall investigate when necessary or advisable, the administration of election laws, frauds and irregularities in elections in any county and municipality and special district, and shall report violations of the election laws to the Attorney General or district attorney or prosecutor of the district for further investigation and prosecution.
APPENDIX 3

Congressional Letter

Congress of the United States
Washington, DC 20515

January 25, 2017

The Honorable Kim Westbrook Strach
Executive Director
State Board of Elections
P.O. Box 272SS
Raleigh, NC 27611

The Honorable Josh Stein
North Carolina Attorney General
Attorney General’s Office
9001 Mail Service Center
Raleigh, NC 27699-9001

Dear Executive Director Strach and Attorney General Stein:

Thank you for your service in the critical work of helping ensure that elections across the
country are free, fair, and administered in a way that upholds the fundamental tenets of the
United States Constitution. We are writing given recent claims of voter fraud and its potential
impact on our nation’s elections. To investigate these claims, we are seeking information
regarding confirmed incidents of voter fraud.

To assist in our inquiry, we request that you provide a list of all specific cases in which
either of your offices has determined that an individual who cast a vote in the federal elections
held in November 2016 was legally prohibited from doing so. For each specific case, please
include the following information:

1) the identity of the individual who cast the prohibited vote;
2) the date on which the prohibited vote took place;
3) the polling place where the prohibited vote occurred;
4) the specific legal reason the individual’s vote was prohibited; and
5) the result of the individual’s prosecution, if any.

Please include in this list all cases in which the state has determined that a prohibited vote
was cast, regardless of whether a prosecution was initiated or concluded. Please feel free to
provide joint or separate responses.

We request this information by February 23, 2017. Please contact Karen Kucateko of
Ranking Member Cummings’ staff at (202) 225-5051, Khalil Abouad with Ranking Member
Brady’s staff at (202) 225-2061, or Amy Miller Pfeiffer with Assistant Democratic Leader
Clyburn’s staff at (202) 226-3210 with any questions.
The Honorable Kim Westbrook Strach
The Honorable Josh Stein
Page 2

Sincerely,

Elijah E. Cummings
Ranking Member
Committee on Oversight and Government Reform

Robert A. Brady
Ranking Member
Committee on House Administration

James E. Clyburn
Assistant Democratic Leader

cc: The Honorable Jason Chaffetz
Chairman, House Committee on Oversight and Government Reform

The Honorable Gregg Harper
Chairman, Committee on House Administration
APPENDIX 4.1

Admission Letter (Case 1)

From: [Redacted]@ncsbe.gov
Sent: Friday, February 3, 2017 10:02 AM
To: [Redacted]
Subject: RE: Both Ballots

I. [Redacted] personally completed both ballots.

From: [Redacted]@ncsbe.gov
Sent: Friday, February 3, 2017 10:01 AM
To: [Redacted]@ncsbe.gov
Subject: Re: Both Ballots

I. [Redacted] wife of [Redacted] marked the ballot.

From: [Redacted]@ncsbe.gov
Sent: Friday, February 3, 2017 9:48 AM
To: [Redacted]
Subject: Re:

On the first ballot that was done at the hospital who marked the ballot?
On the second ballot that was retrieved from the trash who marked that ballot?

From: [Redacted]@ncsbe.gov
Sent: Thursday, February 2, 2017 9:19 PM
To: [Redacted]@ncsbe.gov
Subject: Re:

Entered your email address incorrectly.

From: [Redacted]@ncsbe.gov
To: [Redacted]@ncsbe.gov
Sent: Monday, January 2, 2017 12:15 PM
Subject: [Redacted]
Thank you for this opportunity to clarify the absentee ballot of my late husband. I apologize for my misunderstanding of the process.

My husband was hospitalized Sept 11, 2015. Because of the seriousness of his condition, my brother suggested we apply for absentee ballots, just in case he wasn’t home in time to vote. We had always voted in person and were not even aware this was a possibility. Since I was basically living in the hospital room, I asked to request the absentee ballots for us. By the time the ballots arrived, my husband’s condition had further deteriorated, but his desire to vote had not diminished. With family at his bedside, we witnessed his nod to vote (Republican) and signed to that effect. It was my misunderstanding of the written directions that left his signature line blank. I did not make a copy of our ballots, so I cannot look back to see what I misunderstood, but we left it unsigned on purpose, thinking our witness of his will and intent was sufficient. I took our ballots to the post office to be sure the proper postage was affixed, and the ballots were mailed.

After my husband died, another ballot arrived at our home, which I thought strange, but just a mistake, since our ballots had already been mailed. I discarded the ballot to the recycling bin. Then I received several reminders to be sure to complete and return the ballot. When I mentioned this to my brother, he advised me to call the Board of Elections in County. I was told that my ballot had been received, but that my husband’s ballot was unsigned and another had been sent for his signature. Using a flashlight, my brother and I retrieved the discarded ballot out of the recycling bin on the curb. The next day, I completed the ballot on my husband’s behalf, according to his wishes, and signed his name. I thought that was what I was supposed to do. I was not trying to be deceitful or fraudulent, as I thought I had authority to sign his signature as his wife, and as executor of his estate. I even drove to the Board of Elections and delivered it in person, explaining that it was to clarify the first ballot.

I am glad to know that voter fraud is being diligently investigated. I am very distressed that my ignorance, but good intentions, have caused such a problem. Maybe in less stressful circumstances I would not have made this mistake. I respectfully request that you consider these facts, and our history as reputable, law-abiding citizens.
Hi Mr. [Redacted],

Good morning. Thank you for your call and condolences today regarding my blood sister [Redacted] and her late husband (my brother-in-law) [Redacted]. When [Redacted] was first hospitalized at [Redacted] and [Redacted] was staying with him full-time, I suggested they apply for absentee ballots. Several times in the past while my children were off at college I had requested absentee ballots to be sent to my two sons and daughter to be sure they had the opportunity to vote. [Redacted] called and asked me to request both ballots for them because she was at the hospital [Redacted] and did not have her computer nor a convenient way to request the ballots. Both expected to be back home in time to vote on election day but to be sure they wanted to get their absentee ballot submitted in case they were unable to be home. I spoke (by phone and visits) numerous times with [Redacted] about politics and he was very excited about the upcoming election. Unfortunately, while he treated and making progress in his recovery, he suddenly suffered some critical setbacks and unexpectedly passed away. With best regards, [Redacted]
APPENDIX 4.2
Admission Letter (Case 2)

From: [Redacted]
Sent: Friday, February 03, 2017 3:26 PM
To: [Redacted]
Subject: [Redacted]

My phone number is [Redacted]
Sent from my iPhone

On Feb 3, 2017, at 1:47 PM, [redacted]@ncsbe.gov wrote:

I am very sorry for your loss.
Thank you for your cooperation in this matter.
Please forward a telephone number if we have to contact you.
If you have any additional question please feel free to contact me.
Thank you

[Redacted] Investigator
North Carolina State Board of Elections
441 N. Harrington Street
Post Office Box 27235
Raleigh, NC 27611
[Redacted] office | 919.715.0135 fax
www.ncsbe.gov

From: [Redacted]
Sent: Friday, February 03, 2017 11:16 AM
To: [Redacted]@ncsbe.gov
Subject: NCSBE Case #

My mother [Redacted] at 89 was a tremendous Donald Trump fan. She donated to his campaign, watched all his debates and news involving his campaign on Fox news. She was so excited about voting for him and at every opportunity told everyone else to vote for him to save our country.
My mother had AFlB which would cause her heart rate and blood pressure to rise to dangerous levels with the risk of stroke. I had printed out a State Absentee Ballot Request Form on Saturday, October 22, 2016 and told her to fill it out and mail it in so that she could vote in the event she was unable to go and cast her vote. She said, “ok and if anything happens you have my power of attorney and you be sure to vote for Donald Trump for me”. The following day she had a massive stroke and passed away on October 26, 2016.

This was devastating to me because my dad, brother and sister were deceased and I was the only one left in my family. As election day approached, all I could hear were her words “if anything happens you have my power of attorney and you be sure to vote for Donald Trump for me”! On November 3rd I took a copy of the power of attorney, which no one asked for, and honored her request and voted on her behalf. It was the last thing I could do for her and I felt excited to do that for her.

My mother was alive during the absentee period and if she had received the ballot in time she would have been able to vote. Please understand that my actions were in no way intended to be fraudulent but were done during my grief and an effort to honor my mothers last request and I knew that one vote from this 89 year old lady would not affect the outcome of the election anyway.
Investigator
NC State Board of Elections
PO Box 27255
Raleigh, NC 27611-7255

Re: NCSBE Case number: 2016-165

Dear Investigator,

The 25th Prosecutorial District will decline to prosecute the above referenced case, taking all facts and evidence into consideration along with the lack of criminal history for Ms. [Blank].

Ms. [Blank], voted for her mother believing that her power of attorney and honoring her mother's dying wish was not a fraudulent act. Her mother was alive during the absence period and if she had received the ballot in time she would have been able to legitimately cast her vote. Ms. [Blank] actions were done during a time of grief and mourning and in an effort to honor her mother’s dying wish.

The 25th Prosecutorial District believes it to be in the best interest of justice to decline prosecution of NCSBE Case Number 2016-165. If you have any questions or need additional information, please don’t hesitate to contact me.

Sincerely,

[Signature]
Stacey London, MPA
Administrative Assistant
25th Prosecutorial District
828-695-6196
APPENDIX 5

Breakdown of Voting Irregularities by Type, Party Affiliation of Voter

<table>
<thead>
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* The above reflects affiliation as of Election Day 2016
** On Election Day 2016, statewide registration by party as follows:
  Democrat (39.5%), Republican (30.2%), Libertarian (0.4%), and Unaffiliated (29.9%)
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Grand Total 25 records (24 voters) 441 41 2 510 records (508 voters)

* Two suspected double voters are assigned to two different registration records, each from a different county.
APPENDIX 6
Letter to Suspected Felon Voters

[Date]

TO: [Voter Name]
[Mailing Address]
[Mailing City, State, ZIP]

RE: NOTICE OF REMOVAL DUE TO FELONY CONVICTION;

This office has received felony conviction records indicating that you are currently an active felon and that as such, you may have illegally voted in [County] in the November 8, 2016 General Election.

Persons who are currently serving a sentence for a felony conviction are not qualified to vote in North Carolina. Active felons include persons serving prison time or those on probation or parole for a felony conviction and who have not completed all aspects of their sentence, including completion of any period of parole or probation. It is a felony to vote if you are not qualified to do so. By this letter, please be notified that if not already cancelled, as a convicted felon, your current voter registration in [County] will be cancelled in 30 days.

If you disagree with the finding that you are an active felon and you object to the removal of your name from the list of registered voters, you must object in writing within 30 days of this notice. If you object, the chairman of the County Board of Elections will enter a challenge to your voter registration. You will then be notified to appear at a challenge hearing. The above referenced notice and other relevant records received by our office of your felony conviction will be introduced as evidence at the hearing.

If you are in a deferred prosecution status for a felony, please contact our office immediately and provide us with these details, including the name and telephone number of your current probation officer and the attorney who represented you. Persons who are on deferred prosecution may not be subject to removal and may avoid removal from the voter registration rolls.

As a convicted felon, your rights of citizenship are restored automatically under the provisions of North Carolina General Statute § 13-1 only upon discharge from your felony sentence, including periods of probation or parole, or a full pardon. At that time, provided that you are under no other active felony convictions, you will be qualified to vote. Upon completion of your sentence, you must submit a new voter registration form to the County Board of Elections office where you reside.

Again, if you believe that the information contained in this letter concerning your voter eligibility and/or voting activity is incorrect, you must object in writing to this office within 30 days of this notice. Please mail your written objection and any documentation to the attention of NCSBE Investigator Matthew Martucci at P.O. Box 27255, Raleigh, NC 27611-7255. It is also recommended that you contact investigator Martucci at (919) 715-1827.

Thank you for your prompt attention to this matter.

6400 Mail Service Center • Raleigh, NC 27699-6400
441 N. Hursting Street • Raleigh, NC 27611-7255

Exhibit A, Page 24
APPENDIX 7
Letter to DPS/AOC on Felons

NORTH CAROLINA
State Board of Elections

March 3, 2017

VIA E-MAIL

The Honorable Erik A. Hooks
Secretary, Department of Public Safety
erik.hooks@ncrimestop.org

The Honorable Marion R. Warren
Director, Administrative Office of the Courts
marion.r.warren@nccourts.org

Re: Uniform notice to felons regarding voting rights in North Carolina.

Dear Secretary Hooks and Judge Warren:

As you are each aware, the State Board of Elections maintains a statewide voter registration system used by election officials across North Carolina. In recent years, data-sharing relationships among states and with federal agencies have enhanced our efforts to ensure the integrity of the voter rolls, including the removal of voters who have become ineligible due to felony conviction. We are presently engaged in a comprehensive audit of the agency’s list maintenance process surrounding felons on the rolls, and I am encouraged by the plan set in motion two weeks ago by technical staff from our three agencies and the Government Data Analytics Center. Thank you for sharing in our mission to ensure the integrity of elections.

Beyond the promising future in our data-sharing relationship, I want to make you aware that the State Board’s in-house investigations staff have become aware that the information provided to felons serving active sentences does not appear to be standard and often excludes references to the loss of voting rights. This issue arises at the referral phase of our investigations, when some district attorneys express understandable concern that a felon who has voted may not have been aware of the unlawfulness of his actions. Although individuals are required to affirm that they are not serving an active felony sentence both when registering and present to vote, we have received feedback that not all voters read this language prior to signing. Establishing that the subject of an investigation may have knowingly and willfully violated N.C. election laws prohibiting felons from voting will support successful prosecutions.

We are in the process of finalizing an investigation into a number of felons suspected of voting unlawfully in the 2016 general election, and it is my hope that we can take proactive steps to ensure notice is provided to felons that they are not eligible to vote in North Carolina until they have completed their sentences, including probation. Educating active felons about the law could help reduce the volume of infractions, while making prosecution of willful offenders easier for our state’s dedicated district attorneys. It would also align with G.S. § 163-82.20A, which requires
that our agencies create programs and procedures to inform felons about the restoration of their voting rights. Among other suggestions, we are seeking improvements and additions to passive methods of informing felons of their voting ineligibility, such as the use of informational pamphlets and verbal warnings, to more active written warnings that are presented to felons orally and in writing and which are then signed by the felon acknowledging their understanding.

If you are willing, I would like to arrange a conference call between appropriate personnel at our agencies for the week of March 20th. Thank you for your consideration, and I look forward to our continued coordination on behalf of the voters of this State.

Sincerely,

Kim Westbrook Strach
Executive Director, State Board of Elections
APPENDIX 8
Revised Voter Forms

AUTHORIZATION TO VOTE FORM
North Carolina

ATV #

FRAUDULENTLY OR FALSELY COMPLETING THIS FORM IS A CLASS I FELONY UNDER CHAPTER 169 OF THE NC GENERAL STATUTES.

A Voter's Certification of Voting Qualifications

If ID required, check the type of current ID shown: [ ] Photo ID [ ] Government ID
[ ] State ID [ ] Federal ID [ ] Other Governmental
Registration Date:

I, [INSERT VOTER NAME], certify that:

☐ I am a registered voter in this county and I shall have resided at the address noted above for 30 days immediately prior to this election.

☐ I am a United States Citizen.

☐ I am at least 18 years of age, or will be by the date of the general election.

☐ For partisan primary elections only: I am registered [PARTY NAME] and I will receive a [PRIARY PARTY] ballot.

☐ I understand that it is a felony to vote more than one time in an election.

☐ I have not been convicted of a felony, or if I have been convicted of a felony, I have completed my sentence, including any probation or parole.

☐ [Signature of Voter] ☐ [Official Use]

B Election Day Transfer (Use this section to send a voter from their old polling place to their new polling place after moving.)

This person is hereby authorized to vote in another precinct after executing this form.

Old Precinct # ☐ New Precinct # ☐ Name of New Polling Place:

New Precinct # ☐ Address of New Polling Place:

Party Affiliation On Record ☐ ☐ [Signature of Person Authorized]

C Curbside Affidavit (Affidavit of person voting outside voting place or enclosure.

STATE OF NORTH CAROLINA, COUNTY OF 

I do solemnly swear (or affirm) that I am a registered voter in ☐ percent. That because of age or physical disability.

I am unable to enter the voting place to vote in person without physical assistance. That I desire to vote outside the voting place or enclosure. I understand that a false statement as to my condition will be in violation of North Carolina law.

Date ☐ ☐ [Signature of Voter] ☐ [Signature of Person Authorized]

OFFICIAL USE ONLY ☐ ☐ ☐ [Signature of Voter] ☐ ☐ [Signature of Person Authorized]

Exhibit A, Page 27
ONE STOP APPLICATION
NORTH CAROLINA
COUNTY OF

FRAUDULENTLY OR FALSELY COMPLETING THIS FORM IS A CLASS I FELONY UNDER CHAPTER 169 OF THE NC GENERAL STATUTES.

A Voter's Certification of Voting Qualifications

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Mailing Address

I, [INSERT VOTER NAME], certify that:

☐ I am a registered voter in this county and I shall have resided at the address noted above for 30 days immediately prior to this election.

☐ I am a United States Citizen.

☐ I am at least 18 years of age, or will be by the date of the general election.

☐ For preclearance only: I am registered [PARTY NAME] and I will receive a [PRIMARY PARTY] ballot.

☐ I understand that it is a felony to vote more than once in an election.

☐ I have not been convicted of a felony, or if I have been convicted of a felony, I have completed my sentence, including any probation or parole.

☐ [Signature]

B Change or Verification of Name and Address (Use this section to verify or change a voter's name or address in the registration record.)

New

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</table>

New

<table>
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<th>Former:</th>
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<tbody>
<tr>
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</table>

New

<table>
<thead>
<tr>
<th>Mailing Address:</th>
<th>Former:</th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Have you lived here for 30 days or more? ☐ Yes ☐ No

☐ I certify that I moved at least 30 days before this election to the new address.

☐ [Signature]

C Curbside Affidavit (affidavit of person voting outside voting place or enclosed)

STATE OF NORTH CAROLINA COUNTY OF __________________________

I do solemnly swear (or affirm) that I am a registered voter in the precinct. To the best of my knowledge, I am unable to vote at the voting place or vote in person without physical assistance. That I desire to vote outside the voting place or enclosure. I understand that a false statement as to my condition will be in violation of North Carolina law.

☐ [Signature]

DATE [Date]

VOTE CAST

☐ [Signature]

SIGNATURE OF VOTER

SIGNATURE OF FILED OFFICIAL

OFFICIAL USE ONLY

<table>
<thead>
<tr>
<th>Board Approval Date:</th>
<th>Board Signature:</th>
</tr>
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<tbody>
<tr>
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<table>
<thead>
<tr>
<th>Voting Method:</th>
<th>Voting Date/Time:</th>
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</thead>
<tbody>
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</table>

<table>
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<tr>
<th>State:</th>
<th>Transaction:</th>
<th>Operator Name:</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

Exhibit A, Page 28
APPENDIX 9

Sample Letter to Possible Non-U.S. Citizen Voters

February 16, 2017

RE: Your voter registration in North Carolina.

Dear Mr./Ms.: ____________________________:

The State Board of Elections conducts routine audits following an election. During one of these audits, N.C. Division of Motor Vehicles (DMV) data indicated that you were not a citizen of the United States when you applied for or renewed your driver’s license or state identification card. Information from the U.S. Department of Homeland Security (DHS) also indicated that you may not be a citizen of the United States. We understand these databases may not be current, and you may be a citizen of the United States.

In North Carolina only citizens of the United States may register to vote or to vote. It is a crime for a non-citizen to vote in a state or federal election.

Please complete and return the enclosed Admission or Denial of Non-U.S. Citizen Return Form within (30) days of receiving this letter. If you are a citizen of the United States, include a copy of an official document confirming your citizenship status. If your name has changed, be sure to provide documentation of that name change. You may mail, fax, e-mail or deliver the Admission or Denial of Non-U.S. Citizen Return Form.

Documents that may prove your citizenship within the United States include the following:

- U.S. Birth Certificate. If you cannot find your birth certificate, please contact the vital statistics office in the state or U.S. territory that originally issued your certificate.
- U.S. Passport (booklet or card). If you cannot find your U.S. Passport, please contact the U.S. Department of State at 1-877-487-2778 (TTY 1-888-874-7793) or visit the website at: http://travel.state.gov/passport/lost/lost_548.html

2 See North Carolina General Statute § 163-55 and Article VI, Section 1 of the North Carolina Constitution.
3 North Carolina General Statute § 163-275 and United States Code Title 18, Section 611.
- **Consular Report of Birth Abroad.** If you cannot find your U.S. Consular Certificate of Birth, please contact the U.S. Department of State at 1-877-487-2778 (TTY 1-888-874-7793) or visit the website at: https://travel.state.gov/content/passports/en/abroad/events-and-records/birth/replace-or-amend-consular-report-of-birth-abroad.html

- **Certificate of Naturalization or Certificate of Citizenship.** If you cannot find your Certificate of Naturalization or Certificate of Citizenship, or believe that there is some problem with your records that needs to be corrected by the United States Citizenship and Immigration Services (USCIS), please refer to the enclosed Information for Registrants: Verification of Citizenship Status and How to Obtain Your Document or Correct Your Record with USCIS. You can make a copy of your naturalization or citizenship certificate and send it to this agency.

If you return the Admission or Denial of Non-U.S. Citizen Return Form stating that you are not a citizen of the United States, you will be removed from the voter registration rolls.

If you believe an error has occurred regarding your identity or citizenship status, you have the right to ask for a hearing. The citizenship requirements, however, cannot be waived or ignored by those at a hearing. Remember, it is a crime for a non-citizen to vote in an election in North Carolina.

If you do not respond to this letter and return the Admission or Denial of Non-U.S. Citizen Return Form within thirty (30) days of receipt, your case may be referred to your local county board of elections, which may enter a challenge to your voter registration. If the challenge is successful, your voter registration will be cancelled.

For information regarding this matter or to submit your completed Admission or Denial of Non-U.S. Citizen Return Form, you may contact our agency at the following:

**Mailing Address:**
N.C. State Board of Elections
Attn: Joan Flemming
P.O. Box 27555
Raleigh, NC 27611-2755

**Street Address:**
441 N. Harrington St.
Raleigh, NC 27603

**Phone:** (919) 733-7173
**Fax:** (919) 715-0135
**E-mail:** joan.flemming@ncsbe.gov

*Please ask for the undersigned

Thank you for your cooperation in this matter.

Sincerely,

Joan Flemming
Chief Investigator, North Carolina State Board of Elections

Enclosures: *Admission or Denial of Non-U.S. Citizen Form & self-addressed return envelope
Information for Registrants: Verification of Citizenship Status and How to Obtain Your Document or Correct Your Record with USCIS*
ADMISSION OR DENIAL OF
NON-U.S. CITIZEN RETURN FORM

Please complete and return this form no later than thirty (30 days) of receiving the notice of potential
ineligibility. If you do not respond within that timeframe, we may refer your case to the local county board
of elections, which may enter a challenge against your voter registration.

Under penalties of perjury, I swear or affirm that (check applicable statements):

☐ I am the person referred to in the letter I received from you and that I am not a U.S. citizen.

☐ I am the person referred to in the letter I received from you but I am a U.S. citizen. Check one:
   _____ I am enclosing a copy of proof of U.S. citizenship; or
   _____ I am currently seeking a record review or correction or replacement copy of the documentation or
   record in support of my U.S. citizenship from ____________________________.
   [Insert the name of the government agency]

☐ I am not the person referred to in the letter I received from you and am enclosing a copy of proof of my
identity and/or U.S. citizenship.

<table>
<thead>
<tr>
<th>Voter's Name</th>
<th>Last Name</th>
<th>First</th>
<th>Middle</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date of Birth</td>
<td>Month (MM)</td>
<td>Day (DD)</td>
<td>Year (YYYY)</td>
</tr>
</tbody>
</table>

North Carolina Driver's License Number OR North Carolina ID Card Number OR Last 4 of Social Security Number

Contact Information
( mailing address, phone number, or e-mail)

SIGNATURE OF VOTER: ___________________________ DATE: __________

(WARNING: If you sign this form and know it to be false, you can be convicted of a Class I felony)

RETURN FORM TO:
North Carolina State Board of Elections
Attn: Joan Fleming (Investigations)
P.O. Box 27555
Raleigh, N.C. 27611-7255

North Carolina driver's license number/North Carolina identification card number. Social Security number and date of birth are exempt from public disclosure under Public Records Law. The signatures can be viewed but not copied.

[REFERENCE: 1]
Fact Sheet

Information for Registrants: Verification of Citizenship Status and How to Obtain Your Document or Correct Your Record with USCIS

Many federal, state, and local agencies verify the immigration or citizenship status of benefit applicants to ensure that only qualified aliens or naturalized and derived citizens receive benefits. These agencies verify immigration or citizenship status using the Systematic Alien Verification for Entitlements (SAVE) Program of the U.S. Department of Homeland Security, U.S. Citizenship and Immigration Services (USCIS).

The vote registration agency in your state has submitted information to the SAVE Program for verification of your citizenship. Because the SAVE Program cannot confirm your citizenship status based on information provided by the agency, you must be given an opportunity by the vote registration agency to provide the correct documentation or correct your records with USCIS and/or appeal the denial of your vote registration. Please note that there are a number of reasons why the SAVE Program may not be able to verify your citizenship, e.g., the SAVE Program can only verify naturalized or derived citizens, to the extent that a derived citizen received an official determination on citizenship by USCIS. The inability of the SAVE Program to verify your citizenship does not necessarily mean that you are not a citizen of the United States and are ineligible to vote.

If you need a replacement of your Naturalization Certificate or Certificate of Citizenship or believe that the SAVE Program response to the vote registration agency did not provide accurate information about your citizenship status and you need to make corrections to your citizenship record, please contact USCIS by using one of the following methods:


2. Schedule an appointment for an in-person interview at a local USCIS office to correct your record. You may schedule an appointment at a local USCIS office at the InfoPass website, http://infopass.uscis.gov, or by calling the National Customer Service Center, 1-800-375-5283. Scheduling an appointment is the fastest way to correct your record. We recommend that you bring to your appointment this Fact Sheet, documentation evidencing your citizenship status, and any information provided by the vote registration agency concerning why your citizenship status could not be verified.

3. Submit a request in writing to correct your record. If you know the information that needs
to be corrected in your record, you may submit a request to correct your records to the Freedom of Information Act/Privacy Act (FOIA/PA) Office at the following address:

Privacy Act Amendment
U.S. Citizenship and Immigration Services National Records Center
FOIA/PA Office
P.O. Box 645010
Lee's Summit, MO 64064-8010

We recommend that you include the following information in your submission, if available:

- State that you are being denied voter benefits
- Information that is inaccurate
- Proposed change(s) to the record
- Date and place of birth
- A return address
- Copies of your immigration or DHS citizenship documents
- Reason it is inaccurate
- A-File number and/or the full name
- Notarized signature of the registrant
- Other information to assist locating the record

If you do not know the information you need to correct, you may submit a written request to obtain your records by submitting Form G-659, FOIA/PA Request. This form is available from the nearest USCIS office or online at [http://www.uscis.gov/file/form-g-659.pdf](http://www.uscis.gov/file/form-g-659.pdf). You should use the address specified above, but mark the envelope “Privacy Act Request” rather than “Privacy Act Amendment.”
**APPENDIX 10**

Breakdown of Non-U.S. Citizen Voters by Country of Origin

<table>
<thead>
<tr>
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</tr>
<tr>
<td>China, Peoples Republic</td>
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<tr>
<td>Costa Rica</td>
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<tr>
<td>Dominican Republic</td>
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<tr>
<td>El Salvador</td>
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<tr>
<td>Germany</td>
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<tr>
<td>Guyana</td>
<td>1</td>
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<tr>
<td>Haiti</td>
<td>2</td>
</tr>
<tr>
<td>Honduras</td>
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<tr>
<td>Israel</td>
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</tr>
<tr>
<td>Italy</td>
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<tr>
<td>Jamaica</td>
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<tr>
<td>Korea</td>
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<td>Liberia</td>
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<td>Malaysia</td>
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<tr>
<td>Mexico</td>
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<td>Netherlands</td>
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<td>Nicaragua</td>
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<td>Nigeria</td>
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<td>Philippines</td>
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<td>Sierra Leone</td>
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<td><strong>Grand Total</strong></td>
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