

# **WRITE-IN CANDIDATE'S GUIDE**

**TUESDAY, NOVEMBER 5, 2024**

## **NOTICE TO CANDIDATES**

The City of Arcata's Candidate's Handbook is intended to provide general information about the subject matter covered and does not have the force and effect of law, regulation, or rule. It is distributed with the understanding that the Arcata City Clerk is not rendering legal advice and, therefore, the Handbook is not to be a substitute for legal counsel for the individual or candidate using it. In case of conflict, the law, regulation, or rule will apply.

Unless otherwise indicated, all code section references are to the Arcata Municipal Code, California Government Code, or California Elections Code.

# City of Arcata Write-in Candidate's Guide

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## **TAB 1—INSTRUCTIONS**

**City Elections Official Only**

**Received by:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Candidate confirmed as a registered voter  
within the City limits: \_\_\_\_\_**

**Date**

## **Statement of Write-In Candidacy**

(Elections Code §§ 10103, 8600, 15340)

I hereby declare myself a write-in candidate for nomination to the office of Council Member for the City of Arcata to be voted for at the general municipal election to be held November 5, 2024, and declare the following to be true:

My name is \_\_\_\_\_

I am a voter, registered within the city limits of the City of Arcata.

Residence Address: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Telephone Numbers: Home \_\_\_\_\_ Work \_\_\_\_\_

Cell \_\_\_\_\_ Fax \_\_\_\_\_

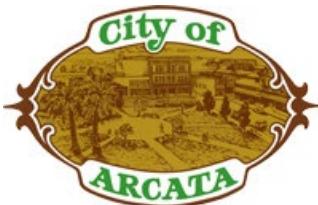
E-mail Address: \_\_\_\_\_

Web Address: \_\_\_\_\_

The best way for the City Clerk's Office to reach me quickly: \_\_\_\_\_

Pursuant to California Government Code § 6254.21, I authorize the above information, for which a box has been checked, to be provided to the public in writing, over the telephone, and/or via the Humboldt County Office of Elections' or City of Arcata's website.

\_\_\_\_\_  
Signature of Candidate



City of Arcata

## WRITE-IN CANDIDATE INFORMATION FOR GENERAL MUNICIPAL ELECTION ON NOVEMBER 5, 2024

### INTRODUCTION

The procedures for seeking election to the City Council are defined in the California Elections Code. The material provided here will explain in some detail the legal requirements and procedures that you must follow in order to run for City Council. As a candidate, it is your responsibility to familiarize yourself with and follow the laws governing elections. You must be at least 18 years of age, live within the city limits of Arcata, and be registered to vote at your current residence address.

The State of California Political Reform Act of 1977 requires that campaign disclosure reports provide the public with the identity of contributors, the amounts they give, and the amounts officeholders, candidates, and committees spend. The agency responsible for administering the provisions of the Political Reform Act is the Fair Political Practices Commission (FPPC).

The City of Arcata has contribution limitations which are adjusted every election year. For 2024, the limitation is \$240 as reflected in Ordinance No. 1566.

The Arcata Municipal Code regulates the size and placement of signs. You will find a handout on Campaign Sign Rules in your candidate packet. Questions regarding signs may be directed to the Community Development Department at 822-5955.

If you have any questions regarding the election process, please feel free to contact the City Clerk at 825-2103.

Candidates should make use of online resources from the Secretary of State and Fair Political Practices Commission.

#### California Secretary of State

The California Secretary of State's website is an excellent reference for candidates. <http://www.sos.ca.gov>

#### Fair Political Practices Commission

Creating a campaign committee requires forms and some familiarity with the California Political Reform Act. The Fair Political Practices Commission (FPPC) is the ultimate source for information for campaigns and committees.  
<http://www.fppc.ca.gov>.

California Codes can be accessed at <https://leginfo.legislature.ca.gov>.

## STATEMENT OF WRITE-IN CANDIDACY

Every person who desires to be a write-in candidate and have his or her name as written on the ballot of an election counted for a particular office shall file a Statement of Write-in Candidacy that contains the following information:

- (1) Candidate's name (Name must be identical to voter registration).
- (2) Residence address (must be within the City limits of Arcata and the address at which the candidate is registered to vote).
- (3) A declaration stating that he or she is a write-in candidate.
- (4) The title of the office for which he or she is running.
- (5) The date of the election.

## NOMINATION PROCESS

The nomination period opens at 9:00 a.m. on **Monday, September 9, 2024**, and closes on **Tuesday, October 22, 2024**, at 5:00 p.m.

*Candidates are encouraged to obtain nomination documents as early as possible during the filing period and to file them well in advance of the deadline so that there is an opportunity to correct any irregularities which may occur. If an official Nomination Paper is filed on the last day and it is determined that it is insufficient, there will be no opportunity to recirculate the nomination paper.*

The documents listed below must be filed with the elections official when you take out nomination papers.

► **Fair Political Practices Commission (FPPC) Candidate Intention Statement (Form 501) (Required)**

Instructions are included on the Form 501.

The Nomination Paper is important and should be handled very carefully. Remember, without an approved nomination paper, your name will not appear on the November 5, 2024, ballot. You must take the Oath or Affirmation of Allegiance before the City Clerk, Deputy Clerk, or Notary Public, and complete the Affidavit of Nominee on the back page of the nomination paper, which includes how you desire your name to appear on the ballot and the ballot designation. (See Ballot Designation Worksheet in this guide and Elections Code § 13107).

The next step you should take in completing your nomination paper is to decide if you will personally be the circulator or if someone will circulate it for you. **Remember, whoever circulates the nomination paper must personally witness each person's signature.** The circulator must also complete and sign the Declaration of Circulator on the back page of the nomination paper. Documents will not be issued to nor accepted from an unauthorized person on your behalf. Authorization from you to

another person to turn in completed nomination papers on your behalf must be in writing and signed by you.

The third step is to obtain the signatures. The nomination paper has 30 spaces for signatures. Although only 20 signatures are required, it is advisable to obtain all 30. This will give you 10 extra signatures in case any of the first 20 signatures do not qualify. The Arcata voters signing your nomination paper must:

- a) reside within the city limits of Arcata;
- b) list their residence address (a P.O. Box is not acceptable for this form);
- c) be registered to vote at that same residence address; and
- d) not sign more than three Nomination Papers for the full terms of four years as there are only three seats to be filled.

Additionally, their signature must match the signature on file with the County Registrar of Voters. Their name must be printed, preferably in block capital letters, and their signature will be verified and matched with their voter registration form.

Make sure the residence address given by the signer is the same as the one at which they are registered to vote.

**NOTE: SIGNERS MUST BE PROPERLY REGISTERED. TO BE PROPERLY REGISTERED TO VOTE, A PERSON MUST BE 18 YEARS OF AGE, A CITIZEN OF THE UNITED STATES, AND REGISTERED AT HIS/HER CURRENT PLACE OF RESIDENCE.**

It is recommended that you do not wait until the last day to file your nomination paper. Try to file your papers early in order to allow ample time for the Humboldt County Office of Elections to verify your signatures. This takes a little time, so it is to your advantage to submit your Nomination Paper as early as possible. If too many disqualified signatures leave you with less than the 20 required for nomination, you will be able to obtain additional signatures on a Supplemental Nomination Paper which must then be submitted by the deadline date of October 22. Once the nomination period has closed, you will not be allowed to turn in any additional signatures.

Once you have obtained your signatures, you, or your authorized representative, will personally file them with the City Clerk.

**Please note that the following documents must be filed concurrently by 5:00 p.m. on Tuesday, October 22, 2024.**

<b><u>Required</u></b>	<ol style="list-style-type: none"><li>1. Completed Nomination Paper, including:<ol style="list-style-type: none"><li>a) Candidate's Personal Information; and</li><li>b) Declaration of Circulator</li></ol></li><li>2. Form 700—Statement of Economic Interests</li><li>3. Form 410 and 460, or 470, required at this time if first pre-election filing deadline has passed (September 26, 2024)</li></ol>
<b><u>Optional</u></b>	1. Code of Fair Campaign Practices

### **FPPC FINANCIAL DISCLOSURE REPORTING FORMS**

The candidate or their campaign committee must file an original and one copy of all FPPC forms on or before the deadline date with the Arcata City Clerk. The City Clerk will review the forms for completeness, date stamp them, log receipt of the forms, and forward the appropriate originals to the FPPC. The City Clerk serves only as a filing officer for Fair Political Practices Commission forms. It is the candidate's and their committee's responsibility to ensure that the legal requirements of the Political Reform Act are being met. If elected, the FPPC Statement of Economic Interests, Form 700, is required to be filed by April 1 every year. Violations of the Political Reform Act, including late filing of annual reports, will result in a fine of \$10 per day up to \$100.

The FPPC provides a campaign disclosure manual for candidates and their committees (Campaign Disclosure Manual 2). This manual is included in the Candidate's Guide or can be found on the FPPC's website here <http://www.fppc.ca.gov/forms/all-fppc-manuals.html>.

Any questions concerning the Political Reform Act of 1977 or an FPPC form should be directed to the Fair Political Practices Commission's Technical Assistance Division's Toll-Free Advice Line at 1-866-275-3772 or [www.fppc.ca.gov](http://www.fppc.ca.gov). A schedule of the filing deadlines for the FPPC campaign reports begins on the next page.

## FPPC FORMS SCHEDULE OF FILING DEADLINES

### SCHEDULE OF FILING DATES

#### REQUIRED FORM TO FILE

**Form 700**  
Statement of Economic Interests

**Form 501**  
Candidate Intention Statement

**Form 410**  
Statement of Organization

**Form 460 or 470**  
First Pre-Election Statement

**Form 460**  
Second Pre-Election Statement

**Form 460**  
Semi-Annual Statement

**Form 497**  
Late Contribution Report

#### FILING DEADLINE

**With completed Nomination Paper, no later than October 22, 2024.**

**With completed Nomination Paper, no later than October 22, 2024.**

**With completed Nomination Paper or within 10 days of receiving \$2,000 in contributions.**

**September 26, 2024.** Covering period from 7/1/2024 to 9/21/2024.\*

**October 24, 2024.** Covering period from 9/22/2024 to 10/19/2024.\*

**January 31, 2024.** Covering period from 10/20/2024 to 12/31/2024, unless the committee filed termination Forms 410 and 460 before December 31, 2024.

**Within 24 hours.** File by personal delivery, email, guaranteed overnight delivery, facsimile transmission, or online, if available.  
Covering period 8/7/2024 to 11/5/2024.\*

\* The period covered by any campaign statement begins the day after the closing date of the last statement filed or January 1 if no previous statement has been filed.

All forms submitted, except the Nomination Paper, are public records and available for public review. The Nomination Paper may only be viewed by the City Clerk or Deputy City Clerk.

Some additional FPPC Fact Sheets have been downloaded from the FPPC's website and are included in this packet for your perusal.

**DOCUMENTS RECEIPT**  
**FOR WRITE-IN CANDIDATE NOMINATION PACKET**  
**FOR ARCATA MUNICIPAL ELECTIONS**

Candidate's Name \_\_\_\_\_

Date of Election: November 5, 2024

Residence Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

**Documents Issued**

**Tab 1—Instructions**

- Statement of Write-in Candidacy
- Write-in Candidate Information Letter
- Documents Receipt

**Tab 2—Nomination**

- Nomination Paper

**Tab 3—Fair Campaign Practices**

- Code of Fair Campaign Practices

(*Date Turned In:* \_\_\_\_\_)

**Tab 4—Calendar, Membership Information**

- Candidate's Quick-Reference Election Calendar
- Membership on the Arcata City Council

**Tab 5—Campaign Advertising**

- City of Arcata Campaign Sign Rules
- Excerpts from California Government Code Relative to Mass Mailing
- FPPC Political Advertising Disclosures
- Political Advertising Disclosures—1. Communications by Candidate Committees for Their Own Election

**Tab 6—Conflict of Interest**

- Statement of Economic Interests (FPPC Form 700)
- Frequently Asked Questions: Form 700 Disclosure
- Arcata Municipal Code Title II, Chapter 8—Conflict of Interest Code

**Tab 7—Campaign Finance**

- Arcata Municipal Code Title II, Chapter 10—Contribution Limitations**
- Fast Facts—Campaign Basics**
- Local Candidate/Committee Checklist**
- Frequently Asked Questions: Campaign Activity**
- FPPC Filing Schedule for Candidates and Controlled Committees for Local Office**

**Tab 8—Political Reform Act Requirements**

- FPPC Form 501, Candidate Intention Statement**
- FPPC Form 410, Statement of Organization—Recipient Committee**
- Rejection of Statements of Organization (Form 410), Frequently Asked Questions**
- FPPC Form 460, Recipient Committee Campaign Statement**
- FPPC Form 470, Officeholder and Candidate Campaign Statement—Short Form and Form 470 Supplement**
- FPPC Form 497, Contribution Report for Local Filers**
- FPPC Limitations and Restriction on Gifts, Honoraria, Travel, and Loans**

**Tab 9—Literature**

- Making the Leap to Public Service: What to Know About Ethics Laws Before You Are Elected or Appointed**

**Separate Document**

- FPPC Campaign Manual 2**

Candidate's signature acknowledges receipt of the forms and/or literature listed above.

Date: \_\_\_\_\_ Signature: \_\_\_\_\_

## **TAB 2—NOMINATION**

# NOMINATION PAPER

<b>OFFICIAL FILING FORM</b>		
<b>VOID</b>		
City Clerk or Deputy City Clerk		
Date		

We, the undersigned voters, hereby nominate

First name

for the office of .....

Middle/Initial (optional)

Last name

for the City of .....

to be voted for at the .....

to be held on Tuesday, .....

**VOID**

**EX-AMPLE**

	Sign Name	Residence Address	For Official Use
1	Print Name		
2	Sign Name	Residence Address	
3	Print Name	Residence Address	
4	Sign Name	Residence Address	
5	Print Name	Residence Address	
6	Sign Name	Residence Address	
7	Print Name	Residence Address	
8	Sign Name	Residence Address	
9	Print Name	Residence Address	
10	Sign Name	Residence Address	
	Print Name		

**EX-AMPLE**

Public access to this document shall be limited to viewing the document only. The public may not copy or distribute copies of documents that contain signatures of voters. (E.C. Section 17100)

A candidate shall not file nomination papers for more than one municipal office or term of office for the same municipality in the same election. (E.C. 10220.5)

The signatures to each nomination paper shall be appended on the same sheet of paper, and each signer shall add his or her place of residence including the street and number. (E.C. 10221)

Form of nomination paper. (E.C. 10226)

	Sign Name	Residence Address	For Official Use
<b>11</b>	Print Name		
<b>12</b>	Sign Name Print Name	Residence Address	
<b>13</b>	Sign Name Print Name	Residence Address	
<b>14</b>	Sign Name Print Name	Residence Address	
<b>15</b>	Sign Name Print Name	Residence Address	
<b>16</b>	Sign Name Print Name	Residence Address	
<b>17</b>	Sign Name Print Name	Residence Address	
<b>18</b>	Sign Name Print Name	Residence Address	
<b>19</b>	Sign Name Print Name	Residence Address	
<b>20</b>	Sign Name Print Name	Residence Address	
<b>21</b>	Sign Name Print Name	Residence Address	
<b>22</b>	Sign Name Print Name	Residence Address	
<b>23</b>	Sign Name Print Name	Residence Address	
<b>24</b>	Sign Name Print Name	Residence Address	
<b>25</b>	Sign Name Print Name	Residence Address	
<b>26</b>	Sign Name Print Name	Residence Address	
<b>27</b>	Sign Name Print Name	Residence Address	

<b>28</b>	Sign Name  Print Name	Residence Address	For Official Use
<b>29</b>	Sign Name  Print Name	Residence Address	
<b>30</b>	Sign Name  Print Name	Residence Address	

# **DECLARATION OF CIRCULATOR**

(on next page)

(Only 1 person who is 18 years of age or older  
may circulate a municipal nomination paper, per Elections Code Sections 102, 1020, 10220, 10222)

**AFFIDAVIT OF NOMINEE  
AND OATH OR AFFIRMATION OF ALLEGIANCE**

**ATTENTION CANDIDATE:** Please refer to the ~~Ballot Designation~~ Worksheet provided before completing the Affidavit of Nominee.

(candidate  sign his or her own nomination paper)

<b>CANDIDATE'S PERSONAL INFORMATION</b>		
<b>VOID</b>		
<p>Candidate's name .....</p> <p>Candidate's Residence Address .....</p> <p>Mailing Address (if different than above) .....</p> <p>City ..... State ..... Zip .....</p>		
<p>Day Phone .....</p> <p>Evening Phone .....</p> <p>Fax .....</p> <p>Email Address .....</p>		

# DECLARATION OF CIRCULATOR

Any person that is 18 years of age or older may circulate a nomination paper. (Only 1 circulator may circulate this nomination paper).  
(Do NOT type this section. It MUST be filled in in your own handwriting.)

State of California  
County of \_\_\_\_\_

} ss.

**VOID**

I, \_\_\_\_\_, solemnly swear (or affirm) all of the following:  
(print name)

1. That I am 18 years of age or older.
2. That my residence address, including street and number, is \_\_\_\_\_, [if no street or number exists], a designation of my residence adequate to readily ascertain its location is \_\_\_\_\_.
3. That the signatures on this nomination paper were obtained between the dates of \_\_\_\_\_ and \_\_\_\_\_; that I circulated this petition and I saw the signatures on this section of the nomination papers being written; and that, to the best of my information and belief, each signature is the genuine signature of the person whose name it purports to be.

I certify (or declare) under the penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed by me at \_\_\_\_\_, on \_\_\_\_\_.  
(place) (date)

(Election Code §§ 102, 104, 10220, 10222, 10226)

(Signature of Circulator)

## AFFIDAVIT OF NOMINEE AND OATH OR AFFIRMATION OF ALLEGIANCE

State of California  
County of \_\_\_\_\_

} ss.

(Print Name of Nominee)

being duly sworn, says that he or she is the  
above-named nominee for the office of: .....

(Print Name of Office)

that he or she will accept the office in the event of his or her election,  
that he or she desires his or her name to appear on the ballot as follows: .....

& Occupation as it will appear on Official Ballot & in Voter Pamphlet:

and that he or she desires the following designation\*  
to appear on the ballot under his or her name: .....

(Name In ALL CAPS as you want it to appear on the ballot)  
(Title or degree is allowed before or after your name)\*\*

Male  Female (Print Designation as it will appear on the ballot)\*

and that his or her residence address is: .....

(Print residence address as provided by affiant)

I, do solemnly swear (or affirm) that I will support and defend the Constitution of the United States and the Constitution of the State of California against all enemies, foreign and domestic; that I will bear true faith and allegiance to the Constitution of the United States and the Constitution of the State of California; that I take this obligation freely, without any mental reservation or purpose of evasion; and that I will well and faithfully discharge the duties upon which I am about to enter.

I certify (or declare) under the penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed by me at \_\_\_\_\_, on \_\_\_\_\_.  
(place) (date)

**VOID**

(Signature of Candidate)

(Election Code §§ 200, 203, 10226, CA Constitution Article XX, § 3)

## \* BALLOT DESIGNATION REQUIREMENTS SUMMARY

**ATTENTION CANDIDATE:** Please refer to the Ballot Designation Worksheet provided before completing the Affidavit of Nominee above.

\* At the option of the candidate, **ONLY ONE** of the following designations may be used:

1. Words designating the elective city, county, district, state, or federal office which the candidate holds at the time of filing the nomination documents to which the candidate was elected by vote of the people or to which he or she was appointed, in the case of a superior or municipal court judge.
2. The word "incumbent" (**without any other word(s)**) if the candidate is a candidate for the same office which the candidate holds at the time of filing the nomination papers, and was elected to that office by a vote of the people. A candidate shall not use the word "incumbent" if the candidate was elected to their office in an at-large election and is a candidate in a district-based election.
3. No more than three words designating either the current principal professions, vocations, or occupations of the candidate, or the principal professions, vocations, or occupations of the candidate during the calendar year immediately preceding the filing of nomination documents.
4. The phrase "Appointed Incumbent" if the candidate holds office by virtue of appointment, but may not use the unmodified word "Incumbent".

No candidate shall assume a designation which would mislead the voters.

(Election Code 13107, 13107.5)

\*\* No title or degree shall appear on the same line on a ballot as a candidate's name, either before or after the candidate's name.

(Election Code 13106)

## **TAB 3—FAIR CAMPAIGN PRACTICES**

## **CODE OF FAIR CAMPAIGN PRACTICES**

(Division 20, Chapter 5, Elections Code)

### **Chapter 5. Fair Campaign Practices**

#### **Article 1. General Intent**

##### **20400. Intent of legislature.**

The Legislature declares that the purpose of this chapter is to encourage every candidate for public office in this state to subscribe to the Code of Fair Campaign Practices.

It is the ultimate intent of the Legislature that every candidate for public office in this state who subscribes to the Code of Fair Campaign Practices will follow the basic principles of decency, honesty, and fair play in order that, after vigorously contested, but fairly conducted campaigns, the citizens of this state may exercise their constitutional right to vote, free from dishonest and unethical practices which tend to prevent the full and free expression of the will of the voters.

The purpose in creating the Code of Fair Campaign Practices is to give voters guidelines in determining fair play and to encourage candidates to discuss issues instead of untruths or distortions.

#### **Article 2. Definitions**

##### **20420. Definition of "Code."**

As used in this chapter, "Code" means the Code of Fair Campaign Practices.

#### **Article 3. Code of Fair Campaign Practices**

##### **20440. Subscription to code; form.**

At the time an individual is issued his or her declaration of candidacy, nomination papers, or any other paper evidencing an intention to be a candidate for public office, the elections official shall give the individual a blank form of the code and a copy of this chapter. The elections official shall inform each candidate for public office that **subscription to the code is voluntary**.

In the case of a committee making an independent expenditure, as defined in Section 82031 of the Government Code, the Secretary of State shall provide a blank form and a copy of this chapter to the individual filing, in accordance with Title 9 (commencing with Section 81000) of the Government Code, an initial campaign statement on behalf of the committee.

The text of the code shall read, as follows: (**See "CODE OF FAIR CAMPAIGN PRACTICES" on next page**).

##### **20441. Supply of forms.**

The Secretary of State shall print, or cause to be printed, blank forms of the code. The Secretary of State shall supply the forms to the elections officials in quantities and at times requested by the elections officials.

##### **20442. Retention of forms. Public inspection.**

The elections official shall accept, at all times prior to the election, all completed forms that are properly subscribed to by a candidate for public office and shall retain them for public inspection until 30 days after the election.

##### **20443. Public Record.**

Every code subscribed to by a candidate for public office pursuant to this chapter is a public record open for public inspection.

**20444. Voluntary.**

In no event shall a candidate for public office be required to subscribe to or endorse the code.



**California Secretary of State**  
**CODE OF FAIR CAMPAIGN PRACTICES**  
(Elections Code § 20440)

There are basic principles of decency, honesty, and fair play which every candidate for public office in the State of California has a moral obligation to observe and uphold in order that, after vigorously contested but fairly conducted campaigns, our citizens may exercise their constitutional right to a free and untrammeled choice and the will of the people may be fully and clearly expressed on the issues.

**THEREFORE:**

- (1) I SHALL CONDUCT my campaign openly and publicly, discussing the issues as I see them, presenting my record and policies with sincerity and frankness, and criticizing without fear or favor the record and policies of my opponents or political parties that merit this criticism.
- (2) I SHALL NOT USE OR PERMIT the use of character defamation, whispering campaigns, libel, slander, or scurrilous attacks on any candidate or his or her personal or family life.
- (3) I SHALL NOT USE OR PERMIT any appeal to negative prejudice based on a candidate's actual or perceived race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, marital status, age, sexual orientation, sex, including gender identity, or any other characteristic set forth in Section 12940 of the Government Code, or association with another person who has any of the actual or perceived characteristics set forth in Section 12940 of the Government Code.
- (4) I SHALL NOT USE OR PERMIT any dishonest or unethical practice that tends to corrupt or undermine our American system of free elections, or that hampers or prevents the full and free expression of the will of the voters including acts intended to hinder or prevent any eligible person from registering to vote, enrolling to vote, or voting.
- (5) I SHALL NOT coerce election help or campaign contributions for myself or for any other candidate from my employees.
- (6) I SHALL IMMEDIATELY AND PUBLICLY REPUDIATE support deriving from any individual or group that resorts, on behalf of my candidacy or in opposition to that of my opponent, to the methods and tactics that I condemn. I shall accept responsibility to take firm action against any subordinate who violates any provision of this code or the laws governing elections.
- (7) I SHALL DEFEND AND UPHOLD the right of every qualified American voter to full and equal participation in the electoral process.

I, the undersigned, candidate for election to public office in the State of California or treasurer or chairperson of a committee making any independent expenditures, hereby voluntarily endorse, subscribe to, and solemnly pledge myself to conduct my campaign in accordance with the above principles and practices.

---

Print Name

---

Signature

---

Date

---

Office

## **TAB 4—CALENDAR, MEMBERSHIP INFORMATION**

# Election Calendar

## November 5, 2024

<b>First Day</b>	<b>Last Day</b>	<b>Event</b>
8/7/2024	11/5/2024	<p><b>Deadline to file 24-Hour Contributions Reports.</b>            Contributions that total in the aggregate \$1,000 or more within 90 days before election must <b>be filed within 24 hours</b> of activity. Can be filed in person, by email, by overnight, or by fax.  <i>(90 days before to Election Day) (GC 84203, 84204)</i></p>
	10/22/2024	<p><b>Statements of Economic Interest</b>—Cities            Candidates for offices specified in Government Code Sec. 87200 must file statements of economic interests by this date which is final filing date for declaration of candidacy.  <i>(88 days before) (GC 87201)</i></p>
		<p><b>Death of a Candidate—General Provisions</b>            Whenever a candidate whose name appears on the ballot dies after the 68<sup>th</sup> day before the election, the votes cast for the deceased candidate shall be counted in determining the results of the election for the office for which the decedent was a candidate. If the deceased candidate receives a majority of the votes cast, he/she shall be considered elected and the office to which he/she was elected shall be vacant at the beginning of the term. The vacancy thus created shall be filled in the same manner as if the candidate had died subsequent to taking office for that term.  <i>(88-0 days before) [EC 15402(b)]</i></p>
8/29/2024	11/5/2024	<p>Filing period for <b>Nomination Papers for Write-in candidates.</b>  <i>(57 days to 14 days before) (EC 8601)</i></p>
9/9/2024*	10/22/2024	<p>Deadline <b>to file Campaign Expenditure Statements</b>—1<sup>st</sup> Pre-Election Statement for period ending 9/21/2024.  <i>(GC 84200.7)</i></p>
	9/26/2024	<p>Deadline to file <b>Campaign Expenditure Statements</b>—2<sup>nd</sup> Pre-Election Statement for period ending 17 days before election.  <i>(12 days before) (GC 84200.8)</i></p>
8/7/2024	11/5/2024	<p><b>Late Contributions and Independent Expenditure Reports.</b>            Late Contribution and Independent Expenditures of \$1,000 or more must <b>be filed within 24 hours</b> of activity. Can be filed in person, by email, by overnight, or by fax.  <i>(11 days before to Election Day) (GC 84203, 84204)</i></p>
	11/5/2024	<b>ELECTION DAY</b>
		<p>City Council to <b>adopt resolution</b> stating official election results.            New City <b>Council members</b> to be <b>installed</b>.  <b>Election of Mayor and Vice Mayor.</b>            Regional Liaison Appointments            Give them Form 700 to complete.  <i>(Thursday after 2<sup>nd</sup> Wednesday in December            /EC 15400; AMC 2020)</i></p>
	12/12/2024	<p>Last day to file <b>Assuming Office and Leaving Office Statement of Economic Interests</b> for incoming and outgoing Councilmembers.  <i>(30 days after installation)</i></p>
	1/10/2025*	<p>Last day to file <b>Campaign Expenditure Statements</b> unless filed Form 410 Termination and 460 before 12/31/2024.  <i>12/31 / GC 84200(b)]</i></p>
	1/31/2025	

## Membership on the Arcata City Council

The Arcata City Council is composed of five members elected at large by the citizens of Arcata to be the legislative policy-making branch of city government. The Council directs the course of local government through its power to adopt ordinances, levy taxes, award contracts, and appoint certain city officers, commissions, and committees.

The City Council holds regular meetings on the first and third Wednesdays of the month at 6:00 p.m. in the Council Chamber in City Hall. Special meetings are held as deemed necessary. All meetings, except closed sessions, are open and public pursuant to the Ralph M. Brown Act. The City Council follows Rosenberg's Rules of Order for parliamentary procedure.

Council members serve four-year staggered terms. General Municipal Elections are held in November of even-numbered years. Each December, on a rotational basis, one Councilmember is elected by the Council to serve as Mayor and one to serve as Vice Mayor. The Mayor has the responsibility to sign official documents, chair the Council meetings, and act as the official head of the City at public and ceremonial occasions. The Vice Mayor serves as the Mayor in the absence or disability of the Mayor.

The Council members earn a salary of \$849.51 per month, and receive monthly benefits for medical, dental and vision insurance. Council members are also eligible to participate in the Public Employees' Retirement System, CalPERS.

City Council members serve as the City's representative to the following county or inter-jurisdictional agencies:

- Humboldt County Association of Governments
- Humboldt Transit Authority
- Humboldt-Del Norte Hazardous Waste Materials Response Joint Powers Authority
- Redwood Region Economic Development Commission
- Redwood Coast Energy Authority
- Humboldt Waste Management Authority
- Humboldt Bay Municipal Water District, Water Quality Task Force
- League of California Cities, Redwood Empire Division, Legislative Committee Representative
- Cal Poly Humboldt/City Liaisons
- Arcata/Camoapa Sister City Committee
- Arcata Chamber of Commerce
- Arcata House Partnership
- Equity Arcata Board of Directors
- Homelessness and Housing Working Group
- Friends of the Arcata Marsh

The City Council appoints the City Manager and City Attorney. The goals and policies set forth annually by the City Council are carried out by the City Manager who administers the daily affairs of the City and supervises the department heads. City Departments include City Manager, Community Development, Engineering, Environmental Services, Finance, and Police.

The City Council makes appointments to the following City commissions and committees:

- Planning Commission
- Board of Permit Appeals
- Economic Development Committee
- Energy Committee
- Forest Management Committee
- Handicapped Access Appeals Board
- Historic Landmarks Committee
- Parks and Recreation Committee
- Public Safety Committee
- Transactions and Use Tax Oversight Committee
- Transportation Safety Committee
- Wetlands and Creeks Committee

Elected officials are required to comply with state ethics laws, conflict of interest regulations and disclosure, and all requirements related to open meeting laws.

**To become a candidate for Arcata City Council, one must:**

- Be at least 18 years of age.
- Be a registered voter registered at and residing at an address within the city limits of Arcata.
- Take out nomination papers which will be available in the City Clerk's office at Arcata City Hall beginning July 15, 2024. Photo identification must be presented when taking out papers.
- Gather a minimum of 20, and not more than 30, signatures of voters registered at an address within the city limits of Arcata. ***Remember, each voter can only sign three nomination papers because there are only three seats open on the City Council.***
- Return completed nomination papers to the City Clerk no later than August 9, 2024.

## **TAB 5—CAMPAIGN ADVERTISING**

## **CAMPAIGN SIGN RULES IN THE CITY OF ARCATA**

**Rules governing campaign signs in Arcata are limited to the following excerpt from Title IX of the Arcata Municipal Code—Land Use Code.**

### **Section 9.38.050(B)(2)**

**Political, social issue, or special event signs.** These non-illuminated signs are allowed without a sign permit and shall not be prohibited by any other development restrictions (i.e. CC&R's), provided that the signs:

- a. Are placed on private property with the property owner's consent
- b. Shall not exceed a total aggregate area of 12 square feet on a site within a residential zoning district, and 32 square feet within a non-residential zoning district.
- c. Are not placed within 15 feet of a fire hydrant, street sign, or traffic signal, or interfere with, confuse, obstruct, or mislead traffic;
- d. Are not placed unlawfully. The placement of a sign in a public right-of-way in violation of this Chapter or any other provision of the Municipal Code is a nuisance, and any sign so placed may be removed summarily and disposed of by the City; and
- e. Political and special event signs are placed no more than 60 days prior to the event and are removed within 10 days after the conclusion of the political campaign or event to which they relate. A sign that is not removed will be removed by the City at the expense of the political candidate or organization involved.

**Please note that campaign signs may not be posted on utility poles or in the public right-of-way.**

**EXCERPTS FROM THE CALIFORNIA GOVERNMENT CODE  
AND CALIFORNIA CODE OF REGULATIONS  
RELATIVE TO MASS MAILING**

**California Code of Regulations, Administrative Code**

**Definition of Mass Mailing**

18435 (a) A "mass mailing" has been made when over two hundred substantially similar pieces of mail have been sent within a calendar month.

(b) The sender, as used in Section 84305, is:

- (1) The candidate or committee who pays for the largest portion of expenditures attributable to the designing, printing, and posting of the mailing which are reportable under Sections 84200 through 84216.5; or
- (2) The candidate or committee who coordinates the expenditure for the mailing pursuant to Regulation 18225.7(c) with a person who pays for the mailing and the person does not qualify as a candidate or committee under Section 82013.

(c) The identification required by Section 84305 must be preceded by the words "Paid for by." These words must be presented in the same size and color as the identification required by Section 84305, and must be immediately adjacent to and above or immediately adjacent to and in front of the required identification unless otherwise specified by statute.

(d) Mass mailing disclosure requirements under Section 84305 do not apply to mailings that are advertisements under Section 84501 and sent by a committee, other than a candidate controlled committee established for an elective office for the controlling candidate or a political party committee.

(e) A mailing of a personal nature, such as invitations, greeting cards and announcements to friends and family, sent by a person qualifying as a committee under Section 82013(b) or (c) is not a "mass mailing" for purposes of the Act if the mailing is not for a political purpose.

**California Government Code**

**Corporate Name of City**

34501.5 (a) Any person who uses or allows to be used any reproduction or facsimile of the seal of the city in any campaign literature or mass mailing, as defined in Section 82041.5, with intent to deceive the voters is guilty of a misdemeanor.

(b) For purposes of this section, the use of a reproduction or facsimile of a seal in a manner that creates a misleading, erroneous, or false impression that the document is authorized by a public official is evidence of intent to deceive.

**Definition of Mass Mailing**

82041.5 "Mass mailing" means over two hundred substantially similar pieces of mail, but does not include a form letter or other mail which is sent in response to an unsolicited request, letter or other inquiry.

## **Prohibitions Relative to Mass Mailing**

84305 (a) (1) Except as provided in subdivision (b), a candidate, candidate controlled committee established for an elective office for the controlling candidate, or political party committee shall not send a mass mailing unless the name, street address, and city of the candidate or committee are shown on the outside of each piece of mail in the mass mailing and on at least one of the inserts included within each piece of mail of the mailing in no less than 6-point type that is in a color or print that contrasts with the background so as to be easily legible. A post office box may be stated in lieu of a street address if the candidate's, candidate controlled committee established for an elective office for the controlling candidate's, or political party committee's address is a matter of public record with the Secretary of State.

(2) Except as provided in subdivision (b), a committee, other than a candidate controlled committee established for an elective office for the controlling candidate or a political party committee, shall not send a mass mailing that is not required to include a disclosure pursuant to Section 85404.2 unless the name, street address, and city of the committee is shown on the outside of each piece of mail in the mass mailing and on at least one of the inserts included within each piece of mail of the mailing in no less than 6-point type that is in a color or print that contrasts with the background so as to be easily legible. A post office box may be stated in lieu of a street address if the committee's address is a matter of public record with the Secretary of State.

(b) If the sender of the mass mailing is a single candidate or committee, the name, street address, and city of the candidate or committee need only be shown on the outside of each piece of mail.

(c) (1) A candidate, candidate controlled committee established for an elective office for the controlling candidate, or political party committee shall not send a mass electronic mailing unless the name of the candidate or committee is shown in the electronic mailing preceded by the words "Paid for by" in at least the same size font as a majority of the text in the electronic mailing.

(2) A committee, other than a candidate controlled committee established for an elective office for the controlling candidate or a political party committee, shall not send a mass electronic mailing that is not required to include a disclosure pursuant to Section 84502 or 84504.3 unless the name of the committee is shown in the electronic mailing preceded by the words "Paid for by" in at least the same size font as a majority of the text in the electronic mailing.

(d) If the sender of a mass mailing is a controlled committee, the name of the person controlling the committee shall be included in addition to the information required by subdivision (a) or (c).

(e) For purposes of this section, the following terms have the following meaning:

(1) "Mass electronic mailing" means sending more than two hundred substantially similar pieces of electronic mail within a calendar month. "Mass electronic mailing" does not include a communication that was solicited by the recipient, including, but not limited to, acknowledgments for contributions or information that the recipient communicated to the organization.

(2) "Sender" means the candidate, candidate controlled committee established for an elective office for the controlling candidate, or political party committee who pays for the largest portion of expenditures attributable to the designing, printing, and posting of the mailing which are reportable pursuant to Sections 84200 to 84216.5, inclusive.

(3) To "pay for" a share of the cost of a mass mailing means to make, to promise to make, or to incur an obligation to make, any payment: (A) to any person for the design, printing,

postage, materials, or other costs of the mailing, including salaries, fees, or commissions, or (B) as a fee or other consideration for an endorsement or, in the case of a ballot measure, support or opposition, in the mailing.

(f) This section does not apply to a mass mailing or mass electronic mailing that is paid for by an independent expenditure.

## **Penal Provisions—Election Campaigns**

### **Elections Code**

**18303**

Every person who violates Section 84305 of the Government Code relating to mass mailing is subject to the penal provisions set forth in Chapter 11 (commencing with Section 91000) of Title 9 of the Government Code.

### **Government**

**Code**

**91000**

(a) Any person who knowingly or willfully violates any provision of this title is guilty of a misdemeanor.

(b) In addition to other penalties provided by law, a fine of up to the greater of ten thousand dollars (\$10,000) or three times the amount the person failed to report properly or unlawfully contributed, expended, gave or received may be imposed upon conviction for each violation.

(c) Prosecution for violation of this title must be commenced within four years after the date on which the violation occurred.

**91001**

(a) The Attorney General is responsible for enforcing the criminal provisions of this title with respect to state agencies, lobbyists and state elections. The district attorney of any county in which a violation occurs has concurrent powers and responsibilities with the Attorney General.

(b) The civil prosecutor is primarily responsible for enforcement of the civil penalties and remedies of this title. The civil prosecutor is the commission with respect to the state or any state agency, except itself. The Attorney General is the civil prosecutor with respect to the commission. The district attorneys are the civil prosecutors with respect to any other agency. The civil prosecutor may bring any civil action under this title which could be brought by a voter or resident of the jurisdiction. Upon written authorization from a district attorney, the commission may bring any civil action under this title which could be brought by a voter or resident of the jurisdiction. Under such circumstances, Section 91007 shall not apply to the commission.

(c) Whether or not a violation is inadvertent, negligent or deliberate, and the presence or absence of good faith shall be considered in applying the remedies and sanctions of this title.

**For a more thorough explanation, please call the  
FAIR POLITICAL PRACTICES COMMISSION at (916) 322-5660**

# California Fair Political Practices Commission

## Political Advertisement Disclosures

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Under California's Political Reform Act (the "Act"), committees, generally, must include "Ad paid for by" disclosures on campaign advertising, including campaign mailers, radio and television ads, telephone robocalls, and electronic media ads. Please see the [Advertising Disclosure Charts](#) for specific disclosure requirements. The questions below relate to disclosure requirements for committees that purchase advertisements or circulate communications supporting or opposing a state or local candidate or ballot measure in California. This fact sheet is informational only and contains only highlights of selected provisions of the law. It does not carry the weight of the law. For further information, consult the Act and its corresponding regulations, advice letters and opinions.

### Who Must Use a Disclosure?

A candidate's campaign committee, a political action committee, a ballot measure committee, a political party committee, a major donor, and a person or entity making independent expenditures on candidates or ballot measures in California are all types of committees that are subject to disclosure rules. In general, a person or entity qualifies as a *committee* under the Act if they receive contributions from others for political purposes of \$2,000 or more per year; if they make independent expenditures on California candidates or ballot measures of \$1,000 or more per year; or if they make contributions to California candidates or ballot measures of \$10,000 or more per year.

### General Questions

1. Q. What is an advertisement?
  - A. An advertisement is a communication that is made for the purpose of supporting or opposing a candidate or ballot measure. Advertisements include mass mailings (including emails), paid telephone calls, newspaper, radio and television ads, billboards, yard signs, and electronic media ads.
2. Q. What is a disclosure?
  - A. A "disclosure" is the portion of a political message that identifies the person or entity who paid for or authorized the communication. "Ad paid for by *committee name*" is generally the basic disclosure required by the Act on most campaign communications sent by a *committee*.
3. Q. Are the Act's disclosure rules the same for all committees and all ads?
  - A. No. Basic disclosure rules apply to campaign materials disseminated by a candidate for their own election campaign because it is generally clear to the public that the candidate is sending the communication. Stricter disclosure rules apply to ballot measure advertisements and independent expenditure advertisements on candidates and ballot measures, because it is less clear to the public who is responsible for these ads.

4. Q. Must a disclosure appear on ALL printed materials or campaign items?
  - A. No. A disclosure is not required on the following items:
    - Campaign buttons smaller than 10 inches in diameter, pins, bumper stickers smaller than 60 square inches, and magnets
    - Pens, pencils, rulers, mugs, potholders, key tags, golf balls and similar small campaign promotional items where a disclosure cannot be conveniently printed
    - T-shirts, caps, hats, and other articles of clothing
    - Skywriting and airplane banners
    - Committee checks and receipts
5. Q. What must the disclosure state?
  - A. Generally, the basic disclosure must state: "Ad Paid for by *committee name*." Please see the [Advertising Disclosure Charts](#) for specific disclosure requirements. In most cases, any recipient committee except a candidate committee or a political party committee must also list top three contributors of \$50,000 or more. An advertisement supporting or opposing a candidate that is paid for by an independent expenditure shall include a statement that it was not authorized by a candidate or a committee controlled by a candidate. If the advertisement was authorized or paid for by a candidate for another office, the expenditure shall instead include a statement that "This advertisement was not authorized or paid for by a candidate for this office or a committee controlled by a candidate for this office."
6. Q. How must the disclosure appear?
  - A. Written disclosures must be printed clearly and legibly. Spoken disclosures must be spoken clearly. Disclosures must also be written or spoken in the same language used in the advertisement. **Specific requirements for color contrast, font, print size and time appearing on screen or read during a telephone or radio advertisement are listed in FPPC [advertising disclosure charts](#).**
7. Q. If a committee's top contributor changes, must advertisement disclosures be updated?
  - A. Yes. Television, radio, telephone, electronic billboard, or other electronic media advertisement shall be updated to reflect the new top contributors within five business days. Print media advertisement, including nonelectronic billboards, shall be updated to reflect the new top contributors before placing a new or modified order for additional printing of the advertisement.
8. Q. What are the rules for disclosures on communications in a language other than English?
  - A. Disclosures on political advertisements must be written or spoken in the same language used in the advertisement, except for the name of the committee and the top contributors to the committee, if any.

9. Q. Must a disclosure appear on communications from an organization to its members?

A. For political party communications, yes. For communications from other organizations to their members, a disclosure is not required.

## **Mass Mailing Questions**

10. Q. On mass mailings, what must the disclosure state?

A. A mass mailing – over 200 substantially similar pieces of mail sent within a calendar month – must include: the words “Paid for by” immediately in front of or above the name and address of the committee on the outside of each piece of postal mail. The disclosure must be in no less than 6-point type and in a color that contrasts with the background.

If a mass mailing is paid for by more than one candidate or committee, the words “paid for by” must appear immediately in front of or above the name and address of the candidate or committee who is paying the greatest share of the mass mailing (including costs for designing, postage, and printing) and must be placed on the outside of each piece of mail. If two or more candidates or committees pay equally for the mailer, the name and address of at least one of the candidates or committees must be shown on the outside, and the names and addresses of all candidates or committees paying for the mailer must appear on at least one insert.

11. Q. On emails, what must the disclosure state?

A. When over 200 substantially similar emails are sent by a candidate or committee, the email must include “Paid for by and the committee name.” The committee’s street address is not required on mass emails sent by a committee, but may be included.

## **Advertising Issues Not Under FPPC’s Jurisdiction**

12. Q. What are the rules about when and where political signs may be placed?

A. The Act does not contain rules about when and where signs may be placed. You may visit the [California Department of Transportation website](#) for information about the State Outdoor Advertising Act and additional restrictions on political sign placement. You should also check with your local jurisdiction as there may be local laws that restrict or prohibit the placement of campaign signs at certain times and in specified places.

13. Q. Where can I get information about the National Do Not Call Registry?

A. For information about the National Do Not Call Registry, administered by the Federal Trade Commission (FTC), go to [www.donotcall.gov](http://www.donotcall.gov).

## Political Advertising Disclosures

### 1. Communications by Candidate Committees for their own Election

**The disclosure must include, unless otherwise noted: "Paid for by *committee name*"**

Examples:      "Paid for by Jones for Assembly 20XX"  
                    "Paid for by Friends of Smith for Mayor 20XX"

Communication	Disclosure and Manner of Display
<b>All mass mailings</b> – more than 200 substantially similar pieces of mail sent within a calendar month	<ul style="list-style-type: none"><li>• <b>Candidate's committee name and address</b> (on file with Form 410) on outside of mailing (if no Form 410 on file, use candidate's name and address).</li><li>• <b>"Paid for by"</b> must be in the same color and font as the committee name and address and immediately in front of or above the name and address.</li><li>• If sent by more than one candidate or committee:<ul style="list-style-type: none"><li>○ Also on at least one insert in the mailing.</li></ul></li><li>• No less than 6-point type and in a contrasting print or color.</li><li>• Return envelopes (if included in solicitation) – committee's name, address and ID number are recommended but not required.</li></ul>
<b>All mass electronic mail</b> – more than 200 substantially similar emails sent within a calendar month	<ul style="list-style-type: none"><li>• <b>"Paid for by [name of candidate or committee]"</b> must be in at least the same size font as a majority of the text (no address is required on mass electronic mailings).</li></ul>
<b>Newspaper ads</b>	<ul style="list-style-type: none"><li>• Refer to the Elections Code for newspaper ad disclosure requirements.</li></ul>

## Candidate Committee Communications for their own Election

<b>Communication</b>	<b>Disclosure and Manner of Display</b>
<p><b>Telephone calls advocating candidate's own election -</b> 500 or more calls similar in nature and made by:</p> <ul style="list-style-type: none"> <li>• Vendors (“robo” calls); or</li> <li>• Paid individuals other than the candidate, campaign manager or volunteers</li> </ul>	<ul style="list-style-type: none"> <li>• Must identify the candidate's committee that authorized or paid for the call or an organization authorizing the call that files campaign reports.</li> <li>• Must state that the call is “paid for by” or “authorized by” the identified candidate or organization. <ul style="list-style-type: none"> <li>○ <i>Examples: This call was paid for by Senator Jones; This call was authorized by [name of committee].</i></li> </ul> </li> <li>• Any time during the call.</li> <li>• No ID required on telephone calls personally dialed by candidate, campaign manager or volunteers.</li> </ul>
<p><b>Radio and television* ads</b> *Television ads include those distributed via streaming technology or viewed via connected TV.</p>	<ul style="list-style-type: none"> <li>• <b>Radio:</b> “Ad paid for by” followed by name of committee as it appears on most recent Form 410 at the beginning or end of advertisement read in a clearly spoken manner with pitch and tone substantially similar to the rest of advertisement.</li> <li>• <b>Television:</b> “Ad paid for by” followed by name of committee as it appears on most recent Form 410 shown for at least four seconds. Letters must be in a type size greater than or equal to four percent of the height of the screen. If the television ad is shorter than the required disclosure display time, the disclosure may be displayed for the length of the advertisement.</li> </ul>
<p><b>Electronic media ads (non-social media)</b> (Websites, blogs, graphics, images, animated graphics, or animated images.)</p>	<ul style="list-style-type: none"> <li>• “Paid for by <i>committee name</i>” and committee ID number are recommended but not legally required.</li> </ul>

## Candidate Committee Communications for their own Election

Communication	Disclosure and Manner of Display
<b>Social media ads</b>	<p>Advertisements in the form of posts, comments or other communications made via social media must include <b>“Ad paid for by,”</b> disclosure in a contrasting color that is easily readable by the average viewer in no less than 10-point font on each individual post that is an advertisement.</p> <ul style="list-style-type: none"> <li>• Disclosures are not required on social media advertisements for which the only expense or cost of the communication is compensated staff time unless the social media account where the content is posted was created only for the purpose of advertisements.</li> <li>• An advertisement for which a committee pays a third party to post from a social media account that is not the committee's account must include a tag, or otherwise include a link to, the social media profile or social media landing page of the committee that paid for the advertisement.</li> </ul>
<b>Billboards, signs (including yard signs), faxes, business cards, door hangers, flyers, and posters</b>	<ul style="list-style-type: none"> <li>• “Paid for by <i>committee name</i>” and committee ID number are recommended but not legally required.</li> </ul>
<b>Text messages sent using mass distribution technology</b>	<ul style="list-style-type: none"> <li>• <b>“Paid for by”</b> or <b>“With”</b> followed by the name of the candidate followed by <b>“For”</b> followed by the name of the office sought.</li> <li>• If <b>“With”</b> is used: <ul style="list-style-type: none"> <li>○ The individual sending the text shall identify themselves by including: “(name of the individual) with (name of the candidate) for (name of elective office).”</li> </ul> </li> </ul>

## Candidate Committee Communications for their own Election

Communication	Disclosure and Manner of Display
	<ul style="list-style-type: none"><li>○ A disclosure using “With” may appear anywhere in the text message, including conversational content, and need not appear as a separate statement apart from the content of the message.</li><li>● For text message exchanges consisting of a sequence of multiple text messages sent on the same day the disclosure is only required on the first text message in the sequence that supports or opposes a candidate or measure.</li><li>● Text required to be included in a text message must be in a color that reasonably contrasts with the background on which it appears and in a font size that is readable by the average viewer.</li></ul>

**The information on this chart does not carry the force of law. If there are any discrepancies between the chart and the Act or its corresponding regulations and opinions, the Act and its regulations and opinions will control. Communications made by a candidate to support or oppose a ballot measure or other candidates are not addressed in this chart.**

**\*If a disclosure statement required by local ordinance is substantially similar to a disclosure statement required under the Act, the two disclosure statements may be merged into a single statement.**

References: [Government Code Sections](#): 82041.5, 84305, 84310, 84502, 84504.2, 84504.3, 84504.4, 84504.8  
[Title 2 Regulations](#): 18435, 18440, 18450.4, 18450.8, 18450.9

## **TAB 6—CONFLICT OF INTEREST**

# 2023-2024 Statement of Economic Interests



## Form 700

A Public Document

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### ***Helpful Resources***

- Video Tutorials
- Reference Pamphlet
- Excel Version
- FAQs
- Gift and Travel Fact Sheet for State and Local Officials

### **California Fair Political Practices Commission**

1102 Q Street, Suite 3050 • Sacramento, CA 95811

Email Advice: [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)

Toll-free advice line: 1 (866) ASK-FPPC • 1 (866) 275-3772

Telephone: (916) 322-5660 • Website: [www.fppc.ca.gov](http://www.fppc.ca.gov)

## Quick Start Guide

Detailed instructions begin on page 3.

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### WHEN IS THE ANNUAL STATEMENT DUE?

- March 1 – Elected State Officers, Judges and Court Commissioners, State Board and Commission members listed in Government Code Section 87200
- April 2 – Most other filers

### WHERE DO I FILE?

Most people file the Form 700 with their agency. If you're not sure where to file your Form 700, contact your filing officer or the person who asked you to complete it.

### ITEMS TO NOTE!

- The Form 700 is a public document.
- Only filers serving in active military duty may receive an extension on the filing deadline.
- You must also report interests held by your spouse or registered domestic partner.
- Your agency's conflict of interest code will help you to complete the Form 700. You are encouraged to get your conflict of interest code from the person who asked you to complete the Form 700.

### NOTHING TO REPORT?

Mark the "No reportable interests" box on Part 4 of the Cover Page, and submit only the signed Cover Page. Please review each schedule carefully!

Schedule	Common Reportable Interests	Common Non-Reportable Interests
A-1: Investments	Stocks, including those held in an IRA or 401K. Each stock must be listed.	Insurance policies, government bonds, diversified mutual funds, funds similar to diversified mutual funds.
A-2: Business Entities/Trusts	Business entities, sole proprietorships, partnerships, LLCs, corporations and trusts. (e.g., Form 1099 filers).	Savings and checking accounts, cryptocurrency, and annuities.
B: Real Property	Rental property in filer's jurisdiction, or within two miles of the boundaries of the jurisdiction.	A residence used exclusively as a personal residence (such as a home or vacation property).
C: Income	Non-governmental salaries. Note that filers are required to report only half of their spouse's or partner's salary.	Governmental salary (from school district, for example).
D: Gifts	Gifts from businesses, vendors, or other contractors (meals, tickets, etc.).	Gifts from family members.
E: Travel Payments	Travel payments from third parties (not your employer).	Travel paid by your government agency.

**Note:** Like reportable interests, non-reportable interests may also create conflicts of interest and could be grounds for disqualification from certain decisions.

### QUESTIONS?

- [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)
- (866) 275-3772 Mon-Thurs, 9-11:30 a.m.

### E-FILING ISSUES?

- If using your agency's system, please contact technical support at your agency.
- If using FPPC's e-filing system, write to [form700@fppc.ca.gov](mailto:form700@fppc.ca.gov).

## What's New

### Gift Limit Increase

The gift limit increased to **\$590** for calendar years **2023** and **2024**. The gift limit was \$520 for calendar years 2021 and 2022.

### Who must file:

- Elected and appointed officials and candidates listed in Government Code Section 87200
- Employees, appointed officials, and consultants filing pursuant to a conflict of interest code ("code filers"). Obtain your **disclosure categories**, which describe the interests you must report, from your agency; they are not part of the Form 700
- Candidates running for local elective offices that are designated in a conflict of interest code (e.g., county sheriffs, city clerks, school board trustees, and water board members)

#### Exception:

- Candidates for a county central committee are not required to file the Form 700
- Employees in newly created positions of existing agencies

For more information, see Reference Pamphlet, page 3, at [www.fppc.ca.gov](http://www.fppc.ca.gov).

## Where to file:

### 87200 Filers

State offices	⦿ Your agency
Judicial offices	⦿ The clerk of your court
Retired Judges	⦿ Directly with FPPC
County offices	⦿ Your county filing official
City offices	⦿ Your city clerk
Multi-County offices	⦿ Your agency

### Code Filers — State and Local Officials, Employees, and Consultants Designated in a Conflict of Interest

**Code:** File with your agency, board, or commission unless otherwise specified in your agency's code (e.g., Legislative staff files directly with FPPC). In most cases, the agency, board, or commission will retain the statements.

**Members of Newly Created Boards and Commissions:** File with your agency or with your agency's code reviewing body pursuant to Regulation 18754.

**Employees in Newly Created Positions of Existing Agencies:** File with your agency or with your agency's code reviewing body. (See Reference Pamphlet, page 3.)

### Candidates file as follow:

State offices, Judicial offices and multi-county offices	⦿ County elections official with whom you file your declaration of candidacy
County offices	⦿ County elections official
City offices	⦿ City Clerk
Public Employee's Retirement System (CalPERS)	⦿ CalPERS
State Teacher's Retirement Board (CalSTRS)	⦿ CalSTRS

## How to file:

The Form 700 is available at [www.fppc.ca.gov](http://www.fppc.ca.gov). Form 700 schedules are also available in Excel format. Each Statement must have a handwritten "wet" signature or "secure electronic signature," meaning either (1) a signature submitted using an approved electronic filing system or (2) if permitted by the filing officer, a digital signature submitted via the filer's agency email address. (See Regulations 18104 and 18757.) Companies such as Adobe and DocuSign offer digital signature services. All statements are signed under the penalty of perjury and must be verified by the filer. See Regulation 18723.1(c) for filing instructions for copies of expanded statements.

## When to file:

### Annual Statements

#### ⦿ March 1, 2024

- Elected State Officers
- Judges and Court Commissioners
- State Board and State Commission Members listed in Government Code Section 87200

#### ⦿ April 2, 2024

- Most other filers

Individuals filing under conflict of interest codes in city and county jurisdictions should verify the annual filing date with their filing official or filing officer.

Statements postmarked by the filing deadline are considered filed on time.

Statements of 30 pages or less may be emailed or faxed by the deadline as long as the originally signed paper version is sent by first class mail to the filing official within 24 hours.

### Assuming Office and Leaving Office Statements

Most filers file within 30 days of assuming or leaving office or within 30 days of the effective date of a newly adopted or amended conflict of interest code.

#### Exception:

If you assumed office between October 1, 2023, and December 31, 2023, and filed an assuming office statement, you are not required to file an annual statement until March 1, 2025, or April 1, 2025, whichever is applicable. The annual statement will cover the day after you assumed office through December 31, 2024. (See Reference Pamphlet, page 6, for additional exceptions.)

### Candidate Statements

File no later than the final filing date for the declaration of candidacy or nomination documents. A candidate statement is not required if you filed an assuming office or annual statement for the same jurisdiction within 60 days before filing a declaration of candidacy or other nomination documents.

### Late Statements

There is no provision for filing deadline extensions unless the filer is serving in active military duty. (See page 19 for information on penalties and fines.)

### Amendments

Statements may be amended at any time. You are only required to amend the schedule that needs to be revised. It is not necessary to amend the entire filed form. The amended schedule(s) is attached to your original filed statement. Obtain amendment schedules at [www.fppc.ca.gov](http://www.fppc.ca.gov).

## Types of Statements

---

### Assuming Office Statement:

If you are a newly appointed official or are newly employed in a position designated, or that will be designated, in a state or local agency's conflict of interest code, your assuming office date is the date you were sworn in or otherwise authorized to serve in the position. If you are a newly elected official, your assuming office date is the date you were sworn in.

- Report: Investments, interests in real property, and business positions held on the date you assumed the office or position must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date you assumed the office or position.

For positions subject to confirmation by the State Senate or the Commission on Judicial Appointments, your assuming office date is the date you were appointed or nominated to the position.

- Example: Maria Lopez was nominated by the Governor to serve on a state agency board that is subject to state Senate confirmation. The assuming office date is the date Maria's nomination is submitted to the Senate. Maria must report investments, interests in real property, and business positions Maria holds on that date, and income (including loans, gifts, and travel payments) received during the 12 months prior to that date.

If your office or position has been added to a newly adopted or newly amended conflict of interest code, use the effective date of the code or amendment, whichever is applicable.

- Report: Investments, interests in real property, and business positions held on the effective date of the code or amendment must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the effective date of the code or amendment.

### Annual Statement:

Generally, the period covered is January 1, 2023, through December 31, 2023. If the period covered by the statement is different than January 1, 2023, through December 31, 2023, (for example, you assumed office between October 1, 2022, and December 31, 2022 or you are combining statements), you must specify the period covered.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2023.

- If your disclosure category changes during a reporting period, disclose under the old category until the effective date of the conflict of interest code amendment and disclose under the new disclosure category through the end of the reporting period.

### Leaving Office Statement:

Generally, the period covered is January 1, 2023, through the date you stopped performing the duties of your position. If the period covered differs from January 1, 2023, through the date you stopped performing the duties of your position (for example, you assumed office between October 1, 2022, and December 31, 2022, or you are combining statements), the period covered must be specified. The reporting period can cover parts of two calendar years.

- Report: Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2023.

### Candidate Statement:

If you are filing a statement in connection with your candidacy for state or local office, investments, interests in real property, and business positions held on the date of filing your declaration of candidacy must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date of filing your declaration of candidacy is reportable. Do not change the preprinted dates on Schedules A-1, A-2, and B.

Candidates running for local elective offices (e.g., county sheriffs, city clerks, school board trustees, or water district board members) must file candidate statements, as required by the conflict of interest code for the elected position. The code may be obtained from the agency of the elected position.

### Amendments:

If you discover errors or omissions on any statement, file an amendment as soon as possible. You are only required to amend the schedule that needs to be revised; it is not necessary to refile the entire form. Obtain amendment schedules from the FPPC website at [www.fppc.ca.gov](http://www.fppc.ca.gov).

**Note:** Once you file your statement, you may not withdraw it. All changes must be noted on amendment schedules.

### Expanded Statement:

If you hold multiple positions subject to reporting requirements, you may be able to file an expanded statement for each position, rather than a separate and distinct statement for each position. The expanded statement must cover all reportable interests for all jurisdictions and list all positions on the Form 700 or on an attachment for which it is filed. The rules and processes governing the filing of an expanded statement are set forth in Regulation 18723.1.

**STATEMENT OF ECONOMIC INTERESTS  
COVER PAGE  
A PUBLIC DOCUMENT**

Please type or print in ink.

NAME OF FILER (LAST)

(FIRST)

(MIDDLE)

**1. Office, Agency, or Court**

Agency Name (Do not use acronyms)

Division, Board, Department, District, if applicable

Your Position

► If filing for multiple positions, list below or on an attachment. (Do not use acronyms)

Agency: \_\_\_\_\_ Position: \_\_\_\_\_

**2. Jurisdiction of Office (Check at least one box)**

State

Judge, Retired Judge, Pro Tem Judge, or Court Commissioner  
(Statewide Jurisdiction)

Multi-County \_\_\_\_\_

County of \_\_\_\_\_

City of \_\_\_\_\_

Other \_\_\_\_\_

**3. Type of Statement (Check at least one box)**

**Annual:** The period covered is January 1, 2023, through December 31, 2023.

**Leaving Office:** Date Left \_\_\_\_/\_\_\_\_/\_\_\_\_\_  
(Check one circle.)

-or- The period covered is \_\_\_\_/\_\_\_\_/\_\_\_\_\_, through December 31, 2023.

The period covered is January 1, 2023, through the date of leaving office.

**Assuming Office:** Date assumed \_\_\_\_/\_\_\_\_/\_\_\_\_\_  
-or-  The period covered is \_\_\_\_/\_\_\_\_/\_\_\_\_\_, through the date of leaving office.

**Candidate:** Date of Election \_\_\_\_\_ and office sought, if different than Part 1: \_\_\_\_\_

**4. Schedule Summary (required)**

► **Total number of pages including this cover page:** \_\_\_\_\_

**Schedules attached**

**Schedule A-1 - Investments** – schedule attached  
 **Schedule A-2 - Investments** – schedule attached  
 **Schedule B - Real Property** – schedule attached

**Schedule C - Income, Loans, & Business Positions** – schedule attached  
 **Schedule D - Income - Gifts** – schedule attached  
 **Schedule E - Income - Gifts - Travel Payments** – schedule attached

-or-  **None** - No reportable interests on any schedule

**5. Verification**

MAILING ADDRESS  
(Business or Agency Address Recommended - Public Document)

CITY

STATE

ZIP CODE

DAYTIME TELEPHONE NUMBER

(\_\_\_\_\_) \_\_\_\_\_

EMAIL ADDRESS

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I acknowledge this is a public document.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date Signed \_\_\_\_\_  
(month, day, year)

Signature \_\_\_\_\_  
(File the originally signed paper statement with your filing official.)

## Instructions Cover Page

Enter your name, mailing address, and daytime telephone number in the spaces provided. **Because the Form 700 is a public document, you may list your business/office address instead of your home address.**

### Part 1. Office, Agency, or Court

- Enter the name of the office sought or held, or the agency or court. Consultants must enter the public agency name rather than their private firm's name. (Examples: State Assembly; Board of Supervisors; Office of the Mayor; Department of Finance; Hope County Superior Court).
- Indicate the name of your division, board, or district, if applicable. (Examples: Division of Waste Management; Board of Accountancy; District 45). **Do not use acronyms.**
- Enter your position title. (Examples: Director; Chief Counsel; City Council Member; Staff Services Analyst).
- If you hold multiple positions (i.e., a city council member who also is a member of a county board or commission) you may be required to file separate and distinct statements with each agency. To simplify your filing obligations, in some cases you may instead complete a single expanded statement and file it with each agency.
  - The rules and processes governing the filing of an expanded statement are set forth in Regulation 18723.1. To file an expanded statement for multiple positions, enter the name of each agency with which you are required to file and your position title with each agency in the space provided. **Do not use acronyms.** Attach an additional sheet if necessary. Complete one statement disclosing all reportable interests for all jurisdictions. Then file the expanded statement with each agency as directed by Regulation 18723.1(c).

If you assume or leave a position after a filing deadline, you must complete a separate statement. For example, a city council member who assumes a position with a county special district after the April annual filing deadline must file a separate assuming office statement. In subsequent years, the city council member may expand their annual filing to include both positions.

#### Example:

Brian Bourne is a city council member for the City of Lincoln and a board member for the Camp Far West Irrigation District – a multi-county agency that covers the Counties of Placer and Yuba. The City is located within Placer County. Brian may complete one expanded statement to disclose all reportable interests for both offices and list both positions on the Cover Page. Brian will file the expanded statement with each the City and the District as directed by Regulation 18723.1(c).

### Part 2. Jurisdiction of Office

- Check the box indicating the jurisdiction of your agency and, if applicable, identify the jurisdiction. Judges, judicial candidates, and court commissioners have statewide jurisdiction. All other filers should review the Reference Pamphlet, page 13, to determine their jurisdiction.
- If your agency is a multi-county office, list each county in which your agency has jurisdiction.

- If your agency is not a state office, court, county office, city office, or multi-county office (e.g., school districts, special districts and JPAs), check the "other" box and enter the county or city in which the agency has jurisdiction.

#### Example:

This filer is a member of a water district board with jurisdiction in portions of Yuba and Sutter Counties.

<b>1. Office, Agency, or Court</b>	
Agency Name (Do not use acronyms) Feather River Irrigation District	
Division, Board, Department, District, if applicable N/A	Your Position Board Member
► If filing for multiple positions, list below or on an attachment. (Do not use acronyms)	
Agency N/A	Position:
<b>2. Jurisdiction of Office (Check at least one box)</b>	
<input type="checkbox"/> State	<input type="checkbox"/> Judge or Court Commissioner (Statewide Jurisdiction)
<input checked="" type="checkbox"/> Multi-County Yuba & Sutter Counties	<input type="checkbox"/> County of _____
<input type="checkbox"/> City of _____	<input type="checkbox"/> Other _____

### Part 3. Type of Statement

Check at least one box. The period covered by a statement is determined by the type of statement you are filing. If you are completing a 2023 annual statement, **do not** change the pre-printed dates to reflect 2024. Your annual statement is used for reporting the previous year's economic interests. Economic interests for your annual filing covering January 1, 2024, through December 31, 2024, will be disclosed on your statement filed in 2025. See Reference Pamphlet, page 4.

**Combining Statements:** Certain types of statements for the same position may be combined. For example, if you leave office after January 1, but before the deadline for filing your annual statement, you may combine your annual and leaving office statements. File by the earliest deadline. Consult your filing officer or the FPPC.

### Part 4. Schedule Summary

- Complete the Schedule Summary after you have reviewed each schedule to determine if you have reportable interests.
- Enter the total number of completed pages including the cover page and either check the box for each schedule you use to disclose interests; or if you have nothing to disclose on any schedule, check the "No reportable interests" box. Please **do not** attach any blank schedules.

### Part 5. Verification

Complete the verification by signing the statement and entering the date signed. Each statement must have an original "wet" signature unless filed with a secure electronic signature. (See page 3 above.) All statements must be signed under penalty of perjury and be verified by the filer pursuant to Government Code Section 81004. See Regulation 18723.1(c) for filing instructions for copies of expanded statements.

**When you sign your statement, you are stating, under penalty of perjury, that it is true and correct.** Only the filer has authority to sign the statement. An unsigned statement is not considered filed and you may be subject to late filing penalties.

# SCHEDULE A-1

## Investments

### Stocks, Bonds, and Other Interests (Ownership Interest is Less Than 10%)

*Investments must be itemized.*

*Do not attach brokerage or financial statements.*

CALIFORNIA FORM **700**  
FAIR POLITICAL PRACTICES COMMISSION

Name \_\_\_\_\_

► NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

\$2,000 - \$10,000       \$10,001 - \$100,000  
 \$100,001 - \$1,000,000       Over \$1,000,000

NATURE OF INVESTMENT

Stock       Other \_\_\_\_\_ (Describe)  
 Partnership       Income Received of \$0 - \$499  
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_ / **23**      \_\_\_\_ / **23**  
 ACQUIRED      DISPOSED

► NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

\$2,000 - \$10,000       \$10,001 - \$100,000  
 \$100,001 - \$1,000,000       Over \$1,000,000

NATURE OF INVESTMENT

Stock       Other \_\_\_\_\_ (Describe)  
 Partnership       Income Received of \$0 - \$499  
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_ / **23**      \_\_\_\_ / **23**  
 ACQUIRED      DISPOSED

► NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

\$2,000 - \$10,000       \$10,001 - \$100,000  
 \$100,001 - \$1,000,000       Over \$1,000,000

NATURE OF INVESTMENT

Stock       Other \_\_\_\_\_ (Describe)  
 Partnership       Income Received of \$0 - \$499  
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_ / **23**      \_\_\_\_ / **23**  
 ACQUIRED      DISPOSED

► NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

\$2,000 - \$10,000       \$10,001 - \$100,000  
 \$100,001 - \$1,000,000       Over \$1,000,000

NATURE OF INVESTMENT

Stock       Other \_\_\_\_\_ (Describe)  
 Partnership       Income Received of \$0 - \$499  
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_ / **23**      \_\_\_\_ / **23**  
 ACQUIRED      DISPOSED

► NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

\$2,000 - \$10,000       \$10,001 - \$100,000  
 \$100,001 - \$1,000,000       Over \$1,000,000

NATURE OF INVESTMENT

Stock       Other \_\_\_\_\_ (Describe)  
 Partnership       Income Received of \$0 - \$499  
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_ / **23**      \_\_\_\_ / **23**  
 ACQUIRED      DISPOSED

► NAME OF BUSINESS ENTITY

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

\$2,000 - \$10,000       \$10,001 - \$100,000  
 \$100,001 - \$1,000,000       Over \$1,000,000

NATURE OF INVESTMENT

Stock       Other \_\_\_\_\_ (Describe)  
 Partnership       Income Received of \$0 - \$499  
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_ / **23**      \_\_\_\_ / **23**  
 ACQUIRED      DISPOSED

Comments: \_\_\_\_\_

## Instructions – Schedules A-1 and A-2

### Investments

---

“Investment” means a financial interest in any business entity (including a consulting business or other independent contracting business) that is located in, doing business in, planning to do business in, or that has done business during the previous two years in your agency’s jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more at any time during the reporting period. (See Reference Pamphlet, page 13.)

#### Reportable investments include:

- Stocks, bonds, warrants, and options, including those held in margin or brokerage accounts and managed investment funds (See Reference Pamphlet, page 13.)
- Sole proprietorships
- Your own business or your spouse’s or registered domestic partner’s business (See Reference Pamphlet, page 8, for the definition of “business entity.”)
- Your spouse’s or registered domestic partner’s investments even if they are legally separate property
- Partnerships (e.g., a law firm or family farm)
- Investments in reportable business entities held in a retirement account (See Reference Pamphlet, page 15.)
- If you, your spouse or registered domestic partner, and dependent children together had a 10% or greater ownership interest in a business entity or trust (including a living trust), you must disclose investments held by the business entity or trust. (See Reference Pamphlet, page 16, for more information on disclosing trusts.)
- Business trusts

#### You are not required to disclose:

- Government bonds, diversified mutual funds, certain funds similar to diversified mutual funds (such as exchange traded funds) and investments held in certain retirement accounts. (See Reference Pamphlet, page 13.) (Regulation 18237)
- Bank accounts, savings accounts, money market accounts and certificates of deposits
- Cryptocurrency
- Insurance policies
- Annuities
- Commodities
- Shares in a credit union
- Government bonds (including municipal bonds)

#### Reminders

- Do you know your agency’s jurisdiction?
- Did you hold investments at any time during the period covered by this statement?
- Code filers – your disclosure categories may only require disclosure of specific investments.

- Retirement accounts invested in non-reportable interests (e.g., insurance policies, mutual funds, or government bonds) (See Reference Pamphlet, page 15.)
- Government defined-benefit pension plans (such as CalPERS and CalSTRS plans)
- Certain interests held in a blind trust (See Reference Pamphlet, page 16.)

Use **Schedule A-1** to report ownership of less than 10% (e.g., stock). Schedule C (Income) may also be required if the investment is not a stock or corporate bond. (See second example below.)

Use **Schedule A-2** to report ownership of 10% or greater (e.g., a sole proprietorship).

#### To Complete Schedule A-1:

Do not attach brokerage or financial statements.

- Disclose the name of the business entity. Do not use acronyms for the name of the business entity, unless it is one that is commonly understood by the public.
- Provide a general description of the business activity of the entity (e.g., pharmaceuticals, computers, automobile manufacturing, or communications).
- Check the box indicating the highest fair market value of your investment during the reporting period. If you are filing a candidate or an assuming office statement, indicate the fair market value on the filing date or the date you took office, respectively. (See page 20 for more information.)
- Identify the nature of your investment (e.g., stocks, warrants, options, or bonds).
- An acquired or disposed of date is only required if you initially acquired or entirely disposed of the investment interest during the reporting period. The date of a stock dividend reinvestment or partial disposal is not required. Generally, these dates will not apply if you are filing a candidate or an assuming office statement.

#### Examples:

Frank Byrd holds a state agency position. Frank’s conflict of interest code requires full disclosure of investments. Frank must disclose stock holdings of \$2,000 or more in any company that is located in or does business in California, as well as those stocks held by Franks’s spouse or registered domestic partner and dependent children.

Alice Lance is a city council member. Alice has a 4% interest, worth \$5,000, in a limited partnership located in the city. Alice must disclose the partnership on Schedule A-1 and income of \$500 or more received from the partnership on Schedule C.

**SCHEDULE A-2**  
**Investments, Income, and Assets**  
**of Business Entities/Trusts**  
(Ownership Interest is 10% or Greater)

**CALIFORNIA FORM 700**  
FAIR POLITICAL PRACTICES COMMISSION

Name \_\_\_\_\_

**► 1. BUSINESS ENTITY OR TRUST**

Name \_\_\_\_\_

Address (Business Address Acceptable) \_\_\_\_\_

Check one

Trust, go to 2     Business Entity, complete the box, then go to 2

**GENERAL DESCRIPTION OF THIS BUSINESS**

**FAIR MARKET VALUE**

\$0 - \$1,999  
 \$2,000 - \$10,000  
 \$10,001 - \$100,000  
 \$100,001 - \$1,000,000  
 Over \$1,000,000

**IF APPLICABLE, LIST DATE:**

\_\_\_\_/\_\_\_\_/23    \_\_\_\_/\_\_\_\_/23

ACQUIRED    DISPOSED

**NATURE OF INVESTMENT**

Partnership     Sole Proprietorship     \_\_\_\_\_ Other \_\_\_\_\_

**YOUR BUSINESS POSITION** \_\_\_\_\_

**► 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)**

\$0 - \$499     \$10,001 - \$100,000  
 \$500 - \$1,000     OVER \$100,000  
 \$1,001 - \$10,000

**► 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE** (Attach a separate sheet if necessary)

None    or     Names listed below

**► 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST**

Check one box:

INVESTMENT     REAL PROPERTY

Name of Business Entity, if Investment, or  
Assessor's Parcel Number or Street Address of Real Property

Description of Business Activity or  
City or Other Precise Location of Real Property

**FAIR MARKET VALUE**

\$2,000 - \$10,000  
 \$10,001 - \$100,000  
 \$100,001 - \$1,000,000  
 Over \$1,000,000

**IF APPLICABLE, LIST DATE:**

\_\_\_\_/\_\_\_\_/23    \_\_\_\_/\_\_\_\_/23

ACQUIRED    DISPOSED

**NATURE OF INTEREST**

Property Ownership/Deed of Trust     Stock     Partnership

Leasehold    \_\_\_\_\_ Yrs. remaining     Other \_\_\_\_\_

Check box if additional schedules reporting investments or real property are attached

**► 1. BUSINESS ENTITY OR TRUST**

Name \_\_\_\_\_

Address (Business Address Acceptable) \_\_\_\_\_

Check one

Trust, go to 2     Business Entity, complete the box, then go to 2

**GENERAL DESCRIPTION OF THIS BUSINESS**

**FAIR MARKET VALUE**

\$0 - \$1,999  
 \$2,000 - \$10,000  
 \$10,001 - \$100,000  
 \$100,001 - \$1,000,000  
 Over \$1,000,000

**IF APPLICABLE, LIST DATE:**

\_\_\_\_/\_\_\_\_/23    \_\_\_\_/\_\_\_\_/23

ACQUIRED    DISPOSED

**NATURE OF INVESTMENT**

Partnership     Sole Proprietorship     \_\_\_\_\_ Other \_\_\_\_\_

**YOUR BUSINESS POSITION** \_\_\_\_\_

**► 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)**

\$0 - \$499     \$10,001 - \$100,000  
 \$500 - \$1,000     OVER \$100,000  
 \$1,001 - \$10,000

**► 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE** (Attach a separate sheet if necessary)

None    or     Names listed below

**► 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST**

Check one box:

INVESTMENT     REAL PROPERTY

Name of Business Entity, if Investment, or  
Assessor's Parcel Number or Street Address of Real Property

Description of Business Activity or  
City or Other Precise Location of Real Property

**FAIR MARKET VALUE**

\$2,000 - \$10,000  
 \$10,001 - \$100,000  
 \$100,001 - \$1,000,000  
 Over \$1,000,000

**IF APPLICABLE, LIST DATE:**

\_\_\_\_/\_\_\_\_/23    \_\_\_\_/\_\_\_\_/23

ACQUIRED    DISPOSED

**NATURE OF INTEREST**

Property Ownership/Deed of Trust     Stock     Partnership

Leasehold    \_\_\_\_\_ Yrs. remaining     Other \_\_\_\_\_

Check box if additional schedules reporting investments or real property are attached

Comments: \_\_\_\_\_

## **Instructions – Schedule A-2**

### **Investments, Income, and Assets of Business Entities/Trusts**

---

Use Schedule A-2 to report investments in a business entity (including a consulting business or other independent contracting business) or trust (including a living trust) in which you, your spouse or registered domestic partner, and your dependent children, together or separately, had a 10% or greater interest, totaling \$2,000 or more, during the reporting period and which is located in, doing business in, planning to do business in, or which has done business during the previous two years in your agency's jurisdiction. (See Reference Pamphlet, page 13.) A trust located outside your agency's jurisdiction is reportable if it holds assets that are located in or doing business in the jurisdiction. Do not report a trust that contains non-reportable interests. For example, a trust containing only your personal residence not used in whole or in part as a business, your savings account, and some municipal bonds, is not reportable.

Also report on Schedule A-2 investments and real property held by that entity or trust if your pro rata share of the investment or real property interest was \$2,000 or more during the reporting period.

#### **To Complete Schedule A-2:**

**Part 1.** Disclose the name and address of the business entity or trust. If you are reporting an interest in a business entity, check "Business Entity" and complete the box as follows:

- Provide a general description of the business activity of the entity.
- Check the box indicating the highest fair market value of your investment during the reporting period.
- If you initially acquired or entirely disposed of this interest during the reporting period, enter the date acquired or disposed.
- Identify the nature of your investment.
- Disclose the job title or business position you held with the entity, if any (i.e., if you were a director, officer, partner, trustee, employee, or held any position of management). A business position held by your spouse is not reportable.

**Part 2.** Check the box indicating your pro rata share of the gross income received by the business entity or trust. This amount includes your pro rata share of the gross income from the business entity or trust, as well as your community property interest in your spouse's or registered domestic partner's share. Gross income is the total amount of income before deducting expenses, losses, or taxes.

**Part 3.** Disclose the name of each source of income that is located in, doing business in, planning to do business in, or that has done business during the previous two years in your agency's jurisdiction, as follows:

- Disclose each source of income and outstanding loan to the business entity or trust identified in Part 1 if your pro rata share of the gross income (including your community property interest in your spouse's or registered domestic partner's share) to the business entity or trust from that source was \$10,000 or more during the reporting period. (See Reference Pamphlet, page 11, for examples.) Income from governmental sources may be reportable if not considered salary. See Regulation 18232. Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.
- Disclose each individual or entity that was a source of commission income of \$10,000 or more during the reporting period through the business entity identified in Part 1. (See Reference Pamphlet, page 8.)

You may be required to disclose sources of income located outside your jurisdiction. For example, you may have a client who resides outside your jurisdiction who does business on a regular basis with you. Such a client, if a reportable source of \$10,000 or more, must be disclosed.

Mark "None" if you do not have any reportable \$10,000 sources of income to disclose. Phrases such as "various clients" or "not disclosing sources pursuant to attorney-client privilege" are not adequate disclosure. (See Reference Pamphlet, page 14, for information on procedures to request an exemption from disclosing privileged information.)

**Part 4.** Report any investments or interests in real property held or leased by the entity or trust identified in Part 1 if your pro rata share of the interest held was \$2,000 or more during the reporting period. Attach additional schedules or use FPPC's Form 700 Excel spreadsheet if needed.

- Check the applicable box identifying the interest held as real property or an investment.
- If investment, provide the name and description of the business entity.
- If real property, report the precise location (e.g., an assessor's parcel number or address).
- Check the box indicating the highest fair market value of your interest in the real property or investment during the reporting period. (Report the fair market value of the portion of your residence claimed as a tax deduction if you are utilizing your residence for business purposes.)
- Identify the nature of your interest.
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property or investment during the reporting period.

**SCHEDULE B**  
**Interests in Real Property**  
(Icluding Rental Income)

**CALIFORNIA FORM 700**  
FAIR POLITICAL PRACTICES COMMISSION

Name \_\_\_\_\_

► ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS

CITY \_\_\_\_\_

FAIR MARKET VALUE  
 \$2,000 - \$10,000  
 \$10,001 - \$100,000  
 \$100,001 - \$1,000,000  
 Over \$1,000,000

IF APPLICABLE, LIST DATE:  
\_\_\_\_ / 23 / \_\_\_\_  
ACQUIRED      DISPOSED

NATURE OF INTEREST

Ownership/Deed of Trust       Easement  
 Leasehold \_\_\_\_\_  \_\_\_\_\_  
Yrs. remaining      Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

\$0 - \$499       \$500 - \$1,000       \$1,001 - \$10,000  
 \$10,001 - \$100,000       OVER \$100,000

SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more.

None

► ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS

CITY \_\_\_\_\_

FAIR MARKET VALUE  
 \$2,000 - \$10,000  
 \$10,001 - \$100,000  
 \$100,001 - \$1,000,000  
 Over \$1,000,000

IF APPLICABLE, LIST DATE:  
\_\_\_\_ / 23 / \_\_\_\_  
ACQUIRED      DISPOSED

NATURE OF INTEREST

Ownership/Deed of Trust       Easement  
 Leasehold \_\_\_\_\_  \_\_\_\_\_  
Yrs. remaining      Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

\$0 - \$499       \$500 - \$1,000       \$1,001 - \$10,000  
 \$10,001 - \$100,000       OVER \$100,000

SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more.

None

\* You are not required to report loans from a commercial lending institution made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

NAME OF LENDER\*

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF LENDER

INTEREST RATE      TERM (Months/Years)

\_\_\_\_\_ %       None

HIGHEST BALANCE DURING REPORTING PERIOD

\$500 - \$1,000       \$1,001 - \$10,000  
 \$10,001 - \$100,000       OVER \$100,000

Guarantor, if applicable

NAME OF LENDER\*

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF LENDER

INTEREST RATE      TERM (Months/Years)

\_\_\_\_\_ %       None

HIGHEST BALANCE DURING REPORTING PERIOD

\$500 - \$1,000       \$1,001 - \$10,000  
 \$10,001 - \$100,000       OVER \$100,000

Guarantor, if applicable

Comments: \_\_\_\_\_

## Instructions – Schedule B

### Interests in Real Property

Report interests in real property located in your agency's jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more any time during the reporting period. Real property is also considered to be "within the jurisdiction" of a local government agency if the property or any part of it is located within two miles outside the boundaries of the jurisdiction or within two miles of any land owned or used by the local government agency. (See Reference Pamphlet, page 13.)

#### Interests in real property include:

- An ownership interest (including a beneficial ownership interest)
- A deed of trust, easement, or option to acquire property
- A leasehold interest (See Reference Pamphlet, page 14.)
- A mining lease
- An interest in real property held in a retirement account (See Reference Pamphlet, page 15.)
- An interest in real property held by a business entity or trust in which you, your spouse or registered domestic partner, and your dependent children together had a 10% or greater ownership interest (Report on Schedule A-2.)
- Your spouse's or registered domestic partner's interests in real property that are legally held separately by him or her

#### You are not required to report:

- A residence, such as a home or vacation cabin, used exclusively as a personal residence (However, a residence in which you rent out a room or for which you claim a business deduction may be reportable. If reportable, report the fair market value of the portion claimed as a tax deduction.)
- Some interests in real property held through a blind trust (See Reference Pamphlet, page 16.)
  - **Please note:** A non-reportable property can still be grounds for a conflict of interest and may be disqualifying.

#### To Complete Schedule B:

- Report the precise location (e.g., an assessor's parcel number or address) of the real property.
- Check the box indicating the fair market value of your interest in the property (regardless of what you owe on the property).
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property during the reporting period.
- Identify the nature of your interest. If it is a leasehold,

#### Reminders

- Income and loans already reported on Schedule B are not also required to be reported on Schedule C.
- Real property already reported on Schedule A-2, Part 4 is not also required to be reported on Schedule B.
- Code filers – do your disclosure categories require disclosure of real property?

disclose the number of years remaining on the lease.

- If you received rental income, check the box indicating the gross amount you received.
- If you had a 10% or greater interest in real property and received rental income, list the name of the source(s) if your pro rata share of the gross income from any single tenant was \$10,000 or more during the reporting period. If you received a total of \$10,000 or more from two or more tenants acting in concert (in most cases, this will apply to married couples), disclose the first and last name of each tenant. Otherwise, mark "None."
- Loans from a private lender that total \$500 or more and are secured by real property may be reportable. **Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.**

When reporting a loan:

- Provide the name and address of the lender.
- Describe the lender's business activity.
- Disclose the interest rate and term of the loan. For variable interest rate loans, disclose the conditions of the loan (e.g., Prime + 2) or the average interest rate paid during the reporting period. The term of a loan is the total number of months or years given for repayment of the loan at the time the loan was established.
- Check the box indicating the highest balance of the loan during the reporting period.
- Identify a guarantor, if applicable.

If you have more than one reportable loan on a single piece of real property, report the additional loan(s) on Schedule C.

#### Example:

Allison Gande is a city planning commissioner. During the reporting period, Allison received rental income of \$12,000, from a single tenant who rented property owned in the city's jurisdiction. If Allison received \$6,000 each from two tenants, the tenants' names would not be required because no single tenant paid her \$10,000 or more. A married couple is considered a single tenant.

ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS 4600 24th Street		IF APPLICABLE, LIST DATE / / XX      / / XX
CITY Sacramento		
FAIR MARKET VALUE <input type="checkbox"/> \$2,000 - \$1,000 <input type="checkbox"/> \$10,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000		
ACQUIRED      DISPOSED		
NATURE OF INTEREST <input type="checkbox"/> Ownership/Deed of Trust <input type="checkbox"/> Easement <input type="checkbox"/> Leasehold <input type="checkbox"/> Other Yrs. remaining		
IF RENTAL PROPERTY, GROSS INCOME RECEIVED <input type="checkbox"/> \$0 - \$499 <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000		
SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more. <input type="checkbox"/> None Henry Wells		
NAME OF LENDER* Sophia Petroillo		
ADDRESS (Business Address Acceptable) 2121 Blue Sky Parkway, Sacramento		
BUSINESS ACTIVITY, IF ANY, OF LENDER Restaurant Owner		
INTEREST RATE      TERM (Months/Years) 8% <input type="checkbox"/> None      15 Years		
HIGHEST BALANCE DURING REPORTING PERIOD <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000		
<input type="checkbox"/> Guarantor, if applicable		
Comments: _____		

**SCHEDULE C**  
**Income, Loans, & Business**  
**Positions**  
(Other than Gifts and Travel Payments)

**CALIFORNIA FORM 700**  
FAIR POLITICAL PRACTICES COMMISSION

Name \_\_\_\_\_

► **1. INCOME RECEIVED**

NAME OF SOURCE OF INCOME

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF SOURCE

YOUR BUSINESS POSITION

GROSS INCOME RECEIVED

<input type="checkbox"/> \$500 - \$1,000	<input type="checkbox"/> No Income - Business Position Only
<input type="checkbox"/> \$10,001 - \$100,000	<input type="checkbox"/> \$1,001 - \$10,000
<input type="checkbox"/> OVER \$100,000	

CONSIDERATION FOR WHICH INCOME WAS RECEIVED

<input type="checkbox"/> Salary	<input type="checkbox"/> Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.)
<input type="checkbox"/> Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.)	
<input type="checkbox"/> Sale of _____ (Real property, car, boat, etc.)	
<input type="checkbox"/> Loan repayment	
<input type="checkbox"/> Commission or <input type="checkbox"/> Rental Income, list each source of \$10,000 or more _____ (Describe)	
<input type="checkbox"/> Other _____ (Describe)	

► **1. INCOME RECEIVED**

NAME OF SOURCE OF INCOME

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF SOURCE

YOUR BUSINESS POSITION

GROSS INCOME RECEIVED

<input type="checkbox"/> \$500 - \$1,000	<input type="checkbox"/> No Income - Business Position Only
<input type="checkbox"/> \$10,001 - \$100,000	<input type="checkbox"/> \$1,001 - \$10,000
<input type="checkbox"/> OVER \$100,000	

CONSIDERATION FOR WHICH INCOME WAS RECEIVED

<input type="checkbox"/> Salary	<input type="checkbox"/> Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.)
<input type="checkbox"/> Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.)	
<input type="checkbox"/> Sale of _____ (Real property, car, boat, etc.)	
<input type="checkbox"/> Loan repayment	
<input type="checkbox"/> Commission or <input type="checkbox"/> Rental Income, list each source of \$10,000 or more _____ (Describe)	
<input type="checkbox"/> Other _____ (Describe)	

► **2. LOANS RECEIVED OR OUTSTANDING DURING THE REPORTING PERIOD**

\* You are not required to report loans from a commercial lending institution, or any indebtedness created as part of a retail installment or credit card transaction, made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

NAME OF LENDER\*

INTEREST RATE

TERM (Months/Years)

\_\_\_\_\_ %  None

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF LENDER

SECURITY FOR LOAN

HIGHEST BALANCE DURING REPORTING PERIOD

None  Personal residence

\$500 - \$1,000

Real Property \_\_\_\_\_  
Street address

\$1,001 - \$10,000

\_\_\_\_\_  
City

\$10,001 - \$100,000

Guarantor \_\_\_\_\_

OVER \$100,000

Other \_\_\_\_\_  
(Describe)

Comments: \_\_\_\_\_

## Instructions – Schedule C

### Income, Loans, & Business Positions

#### (Income Other Than Gifts and Travel Payments)

##### **Reporting Income:**

Report the source and amount of gross income of \$500 or more you received during the reporting period. Gross income is the total amount of income before deducting expenses, losses, or taxes and includes loans other than loans from a commercial lending institution. (See Reference Pamphlet, page 11.) You must also report the source of income to your spouse or registered domestic partner if your community property share was \$500 or more during the reporting period.

The source and income must be reported only if the source is located in, doing business in, planning to do business in, or has done business during the previous two years in your agency's jurisdiction. (See Reference Pamphlet, page 13.) Reportable sources of income may be further limited by your disclosure category located in your agency's conflict of interest code.

##### **Reporting Business Positions:**

You must report your job title with each reportable business entity even if you received no income during the reporting period. Use the comments section to indicate that no income was received.

##### **Commonly reportable income and loans include:**

- Salary/wages, per diem, and reimbursement for expenses including travel payments provided by your employer
- Community property interest (50%) in your spouse's or registered domestic partner's income - **report the employer's name and all other required information**
- Income from investment interests, such as partnerships, reported on Schedule A-1
- Commission income not required to be reported on Schedule A-2 (See Reference Pamphlet, page 8.)
- Gross income from any sale, including the sale of a house or car (Report your pro rata share of the total sale price.)
- Rental income not required to be reported on Schedule B
- Prizes or awards not disclosed as gifts
- Payments received on loans you made to others
- An honorarium received prior to becoming a public official (See Reference Pamphlet, page 10.)
- Incentive compensation (See Reference Pamphlet, page 12.)

##### **Reminders**

- Code filers – your disclosure categories may not require disclosure of all sources of income.
- If you or your spouse or registered domestic partner are self-employed, report the business entity on Schedule A-2.
- Do not disclose on Schedule C income, loans, or business positions already reported on Schedules A-2 or B.

##### **You are not required to report:**

- Salary, reimbursement for expenses or per diem, or social security, disability, or other similar benefit payments received by you or your spouse or registered domestic partner from a federal, state, or local government agency.
- Stock dividends and income from the sale of stock unless the source can be identified.
- Income from a PERS retirement account.

(See Reference Pamphlet, page 12.)

##### **To Complete Schedule C:**

###### **Part 1. Income Received/Business Position Disclosure**

- Disclose the name and address of each source of income or each business entity with which you held a business position.
- Provide a general description of the business activity if the source is a business entity.
- Check the box indicating the amount of gross income received.
- Identify the consideration for which the income was received.
- For income from commission sales, check the box indicating the gross income received and list the name of each source of commission income of \$10,000 or more. (See Reference Pamphlet, page 8.) **Note:** If you receive commission income on a regular basis or have an ownership interest of 10% or more, you must disclose the business entity and the income on **Schedule A-2**.
- Disclose the job title or business position, if any, that you held with the business entity, even if you did not receive income during the reporting period.

###### **Part 2. Loans Received or Outstanding During the Reporting Period**

- Provide the name and address of the lender.
- Provide a general description of the business activity if the lender is a business entity.
- Check the box indicating the highest balance of the loan during the reporting period.
- Disclose the interest rate and the term of the loan.
  - For variable interest rate loans, disclose the conditions of the loan (e.g., Prime + 2) or the average interest rate paid during the reporting period.
  - The term of the loan is the total number of months or years given for repayment of the loan at the time the loan was entered into.
- Identify the security, if any, for the loan.

Name

► NAME OF SOURCE (Not an Acronym)		
ADDRESS (Business Address Acceptable)		
BUSINESS ACTIVITY, IF ANY, OF SOURCE		
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
► NAME OF SOURCE (Not an Acronym)		
ADDRESS (Business Address Acceptable)		
BUSINESS ACTIVITY, IF ANY, OF SOURCE		
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
► NAME OF SOURCE (Not an Acronym)		
ADDRESS (Business Address Acceptable)		
BUSINESS ACTIVITY, IF ANY, OF SOURCE		
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
► NAME OF SOURCE (Not an Acronym)		
ADDRESS (Business Address Acceptable)		
BUSINESS ACTIVITY, IF ANY, OF SOURCE		
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)

**Comments:** \_\_\_\_\_

## Instructions – Schedule D

### Income – Gifts

A gift is anything of value for which you have not provided equal or greater consideration to the donor. A gift is reportable if its fair market value is \$50 or more. In addition, multiple gifts totaling \$50 or more received during the reporting period from a single source must be reported.

It is the acceptance of a gift, not the ultimate use to which it is put, that imposes your reporting obligation. Except as noted below, you must report a gift even if you never used it or if you gave it away to another person.

If the exact amount of a gift is unknown, you must make a good faith estimate of the item's fair market value. Listing the value of a gift as "over \$50" or "value unknown" is not adequate disclosure. In addition, if you received a gift through an intermediary, you must disclose the name, address, and business activity of both the donor and the intermediary. You may indicate an intermediary either in the "source" field after the name or in the "comments" section at the bottom of Schedule D.

#### Commonly reportable gifts include:

- Tickets/passes to sporting or entertainment events
- Tickets/passes to amusement parks
- Parking passes not used for official agency business
- Food, beverages, and accommodations, including those provided in direct connection with your attendance at a convention, conference, meeting, social event, meal, or like gathering
- Rebates/discounts not made in the regular course of business to members of the public without regard to official status
- Wedding gifts (See Reference Pamphlet, page 16)
- An honorarium received prior to assuming office (You may report an honorarium as income on Schedule C, rather than as a gift on Schedule D, if you provided services of equal or greater value than the payment received. See Reference Pamphlet, page 10.)
- Transportation and lodging (See Schedule E.)
- Forgiveness of a loan received by you

#### Reminders

- Gifts from a single source are subject to a \$590 limit in 2023. (See Reference Pamphlet, page 10.)
- Code filers – you only need to report gifts from reportable sources.

#### Gift Tracking Mobile Application

- FPPC has created a gift tracking app for mobile devices that helps filers track gifts and provides a quick and easy way to upload the information to the Form 700. Visit FPPC's website to download the app.

#### You are not required to disclose:

- Gifts that were not used and that, within 30 days after receipt, were returned to the donor or delivered to a charitable organization or government agency without being claimed by you as a charitable contribution for tax purposes
- Gifts from your spouse or registered domestic partner, child, parent, grandparent, grandchild, brother, sister, and certain other family members (See Regulation 18942 for a complete list.). The exception does not apply if the donor was acting as an agent or intermediary for a reportable source who was the true donor.
- Gifts of similar value exchanged between you and an individual, other than a lobbyist registered to lobby your state agency, on holidays, birthdays, or similar occasions
- Gifts of informational material provided to assist you in the performance of your official duties (e.g., books, pamphlets, reports, calendars, periodicals, or educational seminars)
- A monetary bequest or inheritance (However, inherited investments or real property may be reportable on other schedules.)
- Personalized plaques or trophies with an individual value of less than \$250
- Campaign contributions
- Up to two tickets, for your own use, to attend a fundraiser for a campaign committee or candidate, or to a fundraiser for an organization exempt from taxation under Section 501(c)(3) of the Internal Revenue Code. The ticket must be received from the organization or committee holding the fundraiser.
- Gifts given to members of your immediate family if the source has an established relationship with the family member and there is no evidence to suggest the donor had a purpose to influence you. (See Regulation 18943.)
- Free admission, food, and nominal items (such as a pen, pencil, mouse pad, note pad or similar item) available to all attendees, at the event at which the official makes a speech (as defined in Regulation 18950(b)(2)), so long as the admission is provided by the person who organizes the event.
- Any other payment not identified above, that would otherwise meet the definition of gift, where the payment is made by an individual who is not a lobbyist registered to lobby the official's state agency, where it is clear that the gift was made because of an existing personal or business relationship unrelated to the official's position and there is no evidence whatsoever at the time the gift is made to suggest the donor had a purpose to influence you.

#### To Complete Schedule D:

- Disclose the full name (not an acronym), address, and, if a business entity, the business activity of the source.
- Provide the date (month, day, and year) of receipt, and disclose the fair market value and description of the gift.

Name \_\_\_\_\_

**SCHEDULE E**  
**Income – Gifts**  
**Travel Payments, Advances,**  
**and Reimbursements**

- Mark either the gift or income box.
- Mark the “501(c)(3)” box for a travel payment received from a nonprofit 501(c)(3) organization or the “Speech” box if you made a speech or participated in a panel. Per Government Code Section 89506, these payments may not be subject to the gift limit. However, they may result in a disqualifying conflict of interest.
- For gifts of travel, provide the travel destination.

► NAME OF SOURCE (*Not an Acronym*)

ADDRESS (*Business Address Acceptable*) \_\_\_\_\_

CITY AND STATE \_\_\_\_\_

501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE \_\_\_\_\_

DATE(S): \_\_\_\_ / \_\_\_\_ / \_\_\_\_ - \_\_\_\_ / \_\_\_\_ / \_\_\_\_ AMT: \$ \_\_\_\_\_  
(If gift)

► MUST CHECK ONE:  Gift -or-  Income

Made a Speech/Participated in a Panel

Other - Provide Description \_\_\_\_\_

► If Gift, Provide Travel Destination \_\_\_\_\_

► NAME OF SOURCE (*Not an Acronym*)

ADDRESS (*Business Address Acceptable*) \_\_\_\_\_

CITY AND STATE \_\_\_\_\_

501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE \_\_\_\_\_

DATE(S): \_\_\_\_ / \_\_\_\_ / \_\_\_\_ - \_\_\_\_ / \_\_\_\_ / \_\_\_\_ AMT: \$ \_\_\_\_\_  
(If gift)

► MUST CHECK ONE:  Gift -or-  Income

Made a Speech/Participated in a Panel

Other - Provide Description \_\_\_\_\_

► If Gift, Provide Travel Destination \_\_\_\_\_

► NAME OF SOURCE (*Not an Acronym*)

ADDRESS (*Business Address Acceptable*) \_\_\_\_\_

CITY AND STATE \_\_\_\_\_

501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE \_\_\_\_\_

DATE(S): \_\_\_\_ / \_\_\_\_ / \_\_\_\_ - \_\_\_\_ / \_\_\_\_ / \_\_\_\_ AMT: \$ \_\_\_\_\_  
(If gift)

► MUST CHECK ONE:  Gift -or-  Income

Made a Speech/Participated in a Panel

Other - Provide Description \_\_\_\_\_

► If Gift, Provide Travel Destination \_\_\_\_\_

► NAME OF SOURCE (*Not an Acronym*)

ADDRESS (*Business Address Acceptable*) \_\_\_\_\_

CITY AND STATE \_\_\_\_\_

501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE \_\_\_\_\_

DATE(S): \_\_\_\_ / \_\_\_\_ / \_\_\_\_ - \_\_\_\_ / \_\_\_\_ / \_\_\_\_ AMT: \$ \_\_\_\_\_  
(If gift)

► MUST CHECK ONE:  Gift -or-  Income

Made a Speech/Participated in a Panel

Other - Provide Description \_\_\_\_\_

► If Gift, Provide Travel Destination \_\_\_\_\_

Comments: \_\_\_\_\_

## Instructions – Schedule E

### Travel Payments, Advances, and Reimbursements

Travel payments reportable on Schedule E include advances and reimbursements for travel and related expenses, including lodging and meals.

Gifts of travel may be subject to the gift limit. In addition, certain travel payments are reportable gifts, but are not subject to the gift limit. To avoid possible misinterpretation or the perception that you have received a gift in excess of the gift limit, you may wish to provide a specific description of the purpose of your travel. (See the FPPC fact sheet entitled "Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans" to read about travel payments under section 89506(a).)

#### You are not required to disclose:

- Travel payments received from any state, local, or federal government agency for which you provided services equal or greater in value than the payments received, such as reimbursement for travel on agency business from your government agency employer.
- A payment for travel from another local, state, or federal government agency and related per diem expenses when the travel is for education, training or other inter-agency programs or purposes.
- Travel payments received from your employer in the normal course of your employment that are included in the income reported on Schedule C.
- A travel payment that was received from a nonprofit entity exempt from taxation under Internal Revenue Code Section 501(c)(3) for which you provided equal or greater consideration, such as reimbursement for travel on business for a 501(c)(3) organization for which you are a board member.

**Note:** Certain travel payments may not be reportable if reported via email on Form 801 by your agency.

#### To Complete Schedule E:

- Disclose the full name (not an acronym) and address of the source of the travel payment.
- Identify the business activity if the source is a business entity.
- Check the box to identify the payment as a gift or income, report the amount, and disclose the date(s).
  - Travel payments are gifts** if you did not provide services that were equal to or greater in value than the payments received. You must disclose gifts totaling \$50 or more from a single source during the period covered by the statement.

When reporting travel payments that are gifts, you must provide a description of the gift, the date(s) received, and the travel destination.

- Travel payments are income** if you provided services that were equal to or greater in value than the

payments received. You must disclose income totaling \$500 or more from a single source during the period covered by the statement. You have the burden of proving the payments are income rather than gifts. When reporting travel payments as income, you must describe the services you provided in exchange for the payment. You are not required to disclose the date(s) for travel payments that are income.

#### Example:

City council member MaryClaire Chandler is the chair of a 501(c)(6) trade association, and the association pays for MaryClaire's travel to attend its meetings. Because

MaryClaire is deemed to be providing equal or greater consideration for the travel payment by virtue of serving on the board, this payment may be reported as income. Payments for MaryClaire to attend other events for which they are not providing services are likely considered gifts.

Note that the same payment from a 501(c)(3) would NOT be reportable.

► NAME OF SOURCE (Not an Acronym)  
Health Services Trade Association  
ADDRESS (Business Address Acceptable)  
1230 K Street, Suite 610  
CITY AND STATE  
Sacramento, CA  
 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE  
Association of Healthcare Workers  
DATE(S): 01 / 01 / 2023 AMT: \$ 550.00  
(If gift)  
► MUST CHECK ONE:  Gift -or-  Income  
 Made a Speech/Participated in a Panel  
 Other - Provide Description Travel reimbursement for board meeting.  
► If Gift, Provide Travel Destination \_\_\_\_\_

#### Example:

Mayor Kim travels to China on a trip organized by China Silicon Valley Business Development, a California nonprofit, 501(c)(6) organization. The Chengdu Municipal People's

Government pays for Mayor Kim's airfare and travel costs, as well as meals and lodging during the trip. The trip's agenda shows that the trip's purpose is to promote job creation and economic activity in China and in Silicon Valley, so the trip is reasonably related to a governmental purpose.

Thus, Mayor Kim must report the gift of travel, but the gift is exempt from the gift limit. In this case, the travel payments are not subject to the gift limit because the source is a foreign government and because the travel is reasonably related to a governmental purpose. (Section 89506(a)(2).) Note that Mayor Kim could be disqualified from participating in or making decisions about The Chengdu Municipal People's Government for 12 months. Also note that if China Silicon Valley Business Development (a 501(c)(6) organization) paid for the travel costs rather than the governmental organization, the payments would be subject to the gift limits. (See the FPPC fact sheet, Limitations and Restrictions on Gifts, Honoraria, Travel and Loans, at [www.fppc.ca.gov](http://www.fppc.ca.gov).)

► NAME OF SOURCE (Not an Acronym)  
Chengdu Municipal People's Government  
ADDRESS (Business Address Acceptable)  
2 Caoshi St, CaoShiJie, Qingyang Qu, Chengdu Shi,  
CITY AND STATE  
Sichuan Sheng, China, 610000  
 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE  
DATE(S): 09 / 04 / XX - 09 / 08 / XX AMT: \$ 3,874.38  
(If gift)  
► MUST CHECK ONE:  Gift -or-  Income  
 Made a Speech/Participated in a Panel  
 Other - Provide Description Travel reimbursement for trip to China.  
► If Gift, Provide Travel Destination Sichuan Sheng, China

## Restrictions and Prohibitions

The Political Reform Act (Gov. Code Sections 81000-91014) requires most state and local government officials and employees to publicly disclose their economic interests including personal assets and income. The Act's conflict of interest provisions also disqualify a public official from taking part in a governmental decision if it is reasonably foreseeable that the decision will have a material financial effect on these economic interests as well as the official's personal finances and those of immediate family. (Gov. Code Sections 87100 and 87103.) The Fair Political Practices Commission (FPPC) is the state agency responsible for issuing the attached Statement of Economic Interests, Form 700, and for interpreting the Act's provisions.

### **Gift Prohibition**

Gifts received by most state and local officials, employees, and candidates are subject to a limit. In 2023-2024, the gift limit increased to \$590 from a single source during a calendar year.

Additionally, state officials, state candidates, and certain state employees are subject to a \$10 limit per calendar month on gifts from lobbyists and lobbying firms registered with the Secretary of State. See Reference Pamphlet, page 10.

State and local officials and employees should check with their agency to determine if other restrictions apply.

### **Disqualification**

Public officials are, under certain circumstances, required to disqualify themselves from making, participating in, or attempting to influence governmental decisions that will affect their economic interests. This may include interests they are not required to disclose. For example, a personal residence is often not reportable, but may be grounds for disqualification. Specific disqualification requirements apply to 87200 filers (e.g., city councilmembers, members of boards of supervisors, planning commissioners, etc.). These officials must publicly identify the economic interest that creates a conflict of interest and leave the room before a discussion or vote takes place at a public meeting. For more information, consult Government Code Section 87105, Regulation 18707, and the Guide to Recognizing Conflicts of Interest page at [www.fppc.ca.gov](http://www.fppc.ca.gov).

### **Honorarium Ban**

Most state and local officials, employees, and candidates are prohibited from accepting an honorarium for any speech given, article published, or attendance at a conference, convention, meeting, or like gathering. (See Reference Pamphlet, page 10.)

### **Loan Restrictions**

Certain state and local officials are subject to restrictions on loans. (See Reference Pamphlet, page 14.)

### **Post-Governmental Employment**

There are restrictions on representing clients or employers before former agencies. The provisions apply to elected state officials, most state employees, local elected officials, county chief administrative officers, city managers, including the chief administrator of a city, and general managers or chief administrators of local special districts and JPAs. The FPPC website has fact sheets explaining the provisions.

### **Late Filing**

The filing officer who retains originally-signed or electronically filed statements of economic interests may impose on an individual a fine for any statement that is filed late. The fine is \$10 per day up to a maximum of \$100. Late filing penalties may be reduced or waived under certain circumstances.

Persons who fail to timely file their Form 700 may be referred to the FPPC's Enforcement Division (and, in some cases, to the Attorney General or district attorney) for investigation and possible prosecution. In addition to the late filing penalties, a fine of up to \$5,000 per violation may be imposed.

For assistance concerning reporting, prohibitions, and restrictions under the Act:

- Email questions to [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov).
- Call the FPPC toll-free at (866) 275-3772.

### **Form 700 is a Public Document Public Access Must Be Provided**

Statements of Economic Interests are public documents. The filing officer must permit any member of the public to inspect and receive a copy of any statement.

- Statements must be available as soon as possible during the agency's regular business hours, but in any event not later than the second business day after the statement is received. Access to the Form 700 is not subject to the Public Records Act procedures.
- No conditions may be placed on persons seeking access to the forms.
- No information or identification may be required from persons seeking access.
- Reproduction fees of no more than 10 cents per page may be charged.

## Questions and Answers

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### General

Q. What is the reporting period for disclosing interests on an assuming office statement or a candidate statement?

A. On an assuming office statement, disclose all reportable investments, interests in real property, and business positions held on the date you assumed office. In addition, you must disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you assumed office.

On a candidate statement, disclose all reportable investments, interests in real property, and business positions held on the date you file your declaration of candidacy. You must also disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you file your declaration of candidacy.

Q. I hold two other board positions in addition to my position with the county. Must I file three statements of economic interests?

A. Yes, three are required. However, you may instead complete an expanded statement listing the county and the two boards on the Cover Page or an attachment as the agencies for which you will be filing. Disclose all reportable economic interests in all three jurisdictions on the expanded statement. File the expanded statement for your primary position providing an original "wet" signature unless filed with a secure electronic signature. (See page 3 above.) File copies of the expanded statement with the other two agencies as required by Regulation 18723.1(c). Remember to complete separate statements for positions that you leave or assume during the year.

Q. I am a department head who recently began acting as city manager. Should I file as the city manager?

A. Yes. File an assuming office statement as city manager. Persons serving as "acting," "interim," or "alternate" must file as if they hold the position because they are or may be performing the duties of the position.

Q. My spouse and I are currently separated and in the process of obtaining a divorce. Must I still report my spouse's income, investments, and interests in real property?

A. Yes. A public official must continue to report a spouse's economic interests until such time as dissolution of marriage proceedings is final. However, if a separate property agreement has been reached prior to that time, your estranged spouse's income may not have to be reported. Contact the FPPC for more information.

Q. As a designated employee, I left one state agency to work for another state agency. Must I file a leaving office statement?

A. Yes. You may also need to file an assuming office statement for the new agency.

### Investment Disclosure

Q. I have an investment interest in shares of stock in a company that does not have an office in my jurisdiction. Must I still disclose my investment interest in this company?

A. Probably. The definition of "doing business in the jurisdiction" is not limited to whether the business has an office or physical location in your jurisdiction. (See Reference Pamphlet, page 13.)

Q. My spouse and I have a living trust. The trust holds rental property in my jurisdiction, our primary residence, and investments in diversified mutual funds. I have full disclosure. How is this trust disclosed?

A. Disclose the name of the trust, the rental property and its income on Schedule A-2. Your primary residence and investments in diversified mutual funds registered with the SEC are not reportable.

Q. I am required to report all investments. I have an IRA that contains stocks through an account managed by a brokerage firm. Must I disclose these stocks even though they are held in an IRA and I did not decide which stocks to purchase?

A. Yes. Disclose on Schedule A-1 or A-2 any stock worth \$2,000 or more in a business entity located in or doing business in your jurisdiction.

## Questions and Answers

### Continued

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Q. The value of my stock changed during the reporting period. How do I report the value of the stock?

A. You are required to report the highest value that the stock reached during the reporting period. You may use your monthly statements to determine the highest value. You may also use the entity's website to determine the highest value. You are encouraged to keep a record of where you found the reported value. Note that for an assuming office statement, you must report the value of the stock on the date you assumed office.

Q. I am the sole owner of my business, an S-Corporation. I believe that the nature of the business is such that it cannot be said to have any "fair market value" because it has no assets. I operate the corporation under an agreement with a large insurance company. My contract does not have resale value because of its nature as a personal services contract. Must I report the fair market value for my business on Schedule A-2 of the Form 700?

A. Yes. Even if there are no *tangible* assets, intangible assets, such as relationships with companies and clients are commonly sold to qualified professionals. The "fair market value" is often quantified for other purposes, such as marital dissolutions or estate planning. In addition, the IRS presumes that "personal services corporations" have a fair market value. A professional "book of business" and the associated goodwill that generates income are not without a determinable value. The Form 700 does not require a precise fair market value; it is only necessary to check a box indicating the broad range within which the value falls.

Q. I own stock in IBM and must report this investment on Schedule A-1. I initially purchased this stock in the early 1990s; however, I am constantly buying and selling shares. Must I note these dates in the "Acquired" and "Disposed" fields?

A. No. You must only report dates in the "Acquired" or "Disposed" fields when, during the reporting period, you initially purchase a reportable investment worth \$2,000 or more or when you dispose of the entire investment. You are not required to track the partial trading of an investment.

Q. On last year's filing I reported stock in Encoe valued at \$2,000 - \$10,000. Late last year the value of this stock fell below and remains at less than \$2,000. How should this be reported on this year's statement?

A. You are not required to report an investment if the value was less than \$2,000 during the **entire** reporting period. However, because a disposed date is not required for stocks that fall below \$2,000, you may want to report the stock and note in the "comments" section that the value fell below \$2,000. This would be for informational purposes only; it is not a requirement.

Q. We have a Section 529 account set up to save money for our son's college education. Is this reportable?

A. If the Section 529 account contains reportable interests (e.g., common stock valued at \$2,000 or more), those interests are reportable (not the actual Section 529 account). If the account contains solely mutual funds, then nothing is reported.

### Income Disclosure

Q. I reported a business entity on Schedule A-2. Clients of my business are located in several states. Must I report all clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2, Part 3?

A. No, only the clients located in or doing business on a regular basis in your jurisdiction must be disclosed.

Q. I believe I am not required to disclose the names of clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2 because of their right to privacy. Is there an exception for reporting clients' names?

A. Regulation 18740 provides a procedure for requesting an exemption to allow a client's name not to be disclosed if disclosure of the name would violate a legally recognized privilege under California or Federal law. This regulation may be obtained from our website at [www.fppc.ca.gov](http://www.fppc.ca.gov). (See Reference Pamphlet, page 14.)

## Questions and Answers

### Continued

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Q. I am sole owner of a private law practice that is not reportable based on my limited disclosure category. However, some of the sources of income to my law practice are from reportable sources. Do I have to disclose this income?

A. Yes, even though the law practice is not reportable, reportable sources of income to the law practice of \$10,000 or more must be disclosed. This information would be disclosed on Schedule C with a note in the "comments" section indicating that the business entity is not a reportable investment. The note would be for informational purposes only; it is not a requirement.

Q. I am the sole owner of my business. Where do I disclose my income - on Schedule A-2 or Schedule C?

A. Sources of income to a business in which you have an ownership interest of 10% or greater are disclosed on Schedule A-2. (See Reference Pamphlet, page 8.)

Q. My spouse is a partner in a four-person firm where all of their business is based on their own billings and collections from various clients. How do I report my community property interest in this business and the income generated in this manner?

A. If your spouse's investment in the firm is 10% or greater, disclose 100% of your spouse's share of the business on Schedule A-2, Part 1 and 50% of your spouse's income on Schedule A-2, Parts 2 and 3. For example, a client of your spouse's must be a source of at least \$20,000 during the reporting period before the client's name is reported.

Q. How do I disclose my spouse's or registered domestic partner's salary?

A. Report the name of the employer as a source of income on Schedule C.

Q. I am a doctor. For purposes of reporting \$10,000 sources of income on Schedule A-2, Part 3, are the patients or their insurance carriers considered sources of income?

A. If your patients exercise sufficient control by selecting you instead of other doctors, then your patients, rather than their insurance carriers, are sources of income to you. (See Reference Pamphlet, page 14.)

Q. I received a loan from my grandfather to purchase my home. Is this loan reportable?

A. No. Loans received from family members are not reportable.

Q. Many years ago, I loaned my parents several thousand dollars, which they paid back this year. Do I need to report this loan repayment on my Form 700?

A. No. Payments received on a loan made to a family member are not reportable.

### Real Property Disclosure

Q. During this reporting period we switched our principal place of residence into a rental. I have full disclosure and the property is located in my agency's jurisdiction, so it is now reportable. Because I have not reported this property before, do I need to show an "acquired" date?

A. No, you are not required to show an "acquired" date because you previously owned the property. However, you may want to note in the "comments" section that the property was not previously reported because it was used exclusively as your residence. This would be for informational purposes only; it is not a requirement.

Q. I am a city manager, and I own a rental property located in an adjacent city, but one mile from the city limit. Do I need to report this property interest?

A. Yes. You are required to report this property because it is located within 2 miles of the boundaries of the city you manage.

Q. Must I report a home that I own as a personal residence for my daughter?

A. You are not required to disclose a home used as a personal residence for a family member unless you receive income from it, such as rental income.

Q. I am a co-signer on a loan for a rental property owned by a friend. Since I am listed on the deed of trust, do I need to report my friend's property as an interest in real property on my Form 700?

A. No. Simply being a co-signer on a loan for property does not create a reportable interest in that real property.

## Questions and Answers

### Continued

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#### **Gift Disclosure**

Q. If I received a reportable gift of two tickets to a concert valued at \$100 each, but gave the tickets to a friend because I could not attend the concert, do I have any reporting obligations?

A. Yes. Since you accepted the gift and exercised discretion and control of the use of the tickets, you must disclose the gift on Schedule D.

Q. Julia and Jared Benson, a married couple, want to give a piece of artwork to a county supervisor. Is each spouse considered a separate source for purposes of the gift limit and disclosure?

A. Yes, each spouse may make a gift valued at the gift limit during a calendar year. For example, during 2023 the gift limit was \$590, so the Bensons may have given the supervisor artwork valued at no more than \$1,080. The supervisor must identify Jared and Julia Benson as the sources of the gift.

Q. I am a Form 700 filer with full disclosure. Our agency holds a holiday raffle to raise funds for a local charity. I bought \$10 worth of raffle tickets and won a gift basket valued at \$120. The gift basket was donated by Doug Brewer, a citizen in our city. At the same event, I bought raffle tickets for, and won a quilt valued at \$70. The quilt was donated by a coworker. Are these reportable gifts?

A. Because the gift basket was donated by an outside source (not an agency employee), you have received a reportable gift valued at \$110 (the value of the basket less the consideration paid). The source of the gift is Doug Brewer and the agency is disclosed as the intermediary. Because the quilt was donated by an employee of your agency, it is not a reportable gift.

Q. My agency is responsible for disbursing grants. An applicant (501(c)(3) organization) met with agency employees to present its application. At this meeting, the applicant provided food and beverages. Would the food and beverages be considered gifts to the employees? These employees are designated in our agency's conflict of interest code and the applicant is a reportable source of income under the code.

A. Yes. If the value of the food and beverages consumed by any one filer, plus any other gifts received from the same source during the reporting period total \$50 or more, the food and beverages would be reported using the fair market value and would be subject to the gift limit.

Q. I received free admission to an educational conference related to my official duties. Part of the conference fees included a round of golf. Is the value of the golf considered informational material?

A. No. The value of personal benefits, such as golf, attendance at a concert, or sporting event, are gifts subject to reporting and limits.

## Frequently Asked Questions: Form 700 Disclosure

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**Income**.....Page 2

**Investments**.....Page 3

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**Tickets to Non-Profit and Political Fundraising Events**.....Page 9

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The FAQs listed below are selected from questions often asked about the Statement of Economic Interests (Form 700). Because it is not possible to address all of the unique variables and circumstances related to disclosure, individuals are encouraged to contact the FPPC with specific facts. Most officials must also consult their agency's conflict of interest code to determine their disclosure level and their reportable interests. The Form 700 is a public document. Form 700s filed by State Legislators and Judges, members of the FPPC, County Supervisors, and City Council Members are available on the FPPC's website.

### General Questions

1. Q. Do officials have to complete all schedules of the Form 700?

A. Not necessarily. The majority of individuals who file the Form 700 must do so by following the rules set forth in their agency's conflict of interest code ("designated employees"). Before completing the Form 700, an official should be familiar with the disclosure category for their position. For example, since job duties differ from agency to agency and even unit to unit within the same agency, an analyst for one agency, or unit of that agency, may not have the same reporting requirements as an analyst from another agency, or even another unit of the same agency. **Designated employees should obtain a copy of their agency's conflict of interest code from the agency.**

Officials listed in Government Code Section 87200 (e.g., boards of supervisors, city council members, planning commissioners, elected state officials, etc.) must report investments, business positions, and sources of income, including receipt of gifts, loans, and travel payments, from sources located in or doing business in their agency's jurisdiction. All interests in real property within the agency's jurisdiction must also be reported. For local officials, real property located within two miles of the boundaries of the jurisdiction or any real property that the agency has an interest in is deemed to be "within the jurisdiction."

2. Q. Is it necessary to read all of the information before completing the Form 700?

A. Each individual must verify the Form 700's content under penalty of perjury. Therefore, every effort must be made to understand what the form requires. When necessary, you may contact the FPPC for specific guidance. You may only obtain immunity from a potential enforcement action when you receive formal written advice.

3. Q. Where are the Form 700s filed?

A. Most state and local officials file with their agency. In most instances, the agency is required to forward the originals for specified high-level officials to the FPPC. Only retired judges serving on assignment and legislative staff file the Form 700 *directly* with the FPPC.

California Fair Political Practices Commission  
**Frequently Asked Questions: Form 700 Disclosure**

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4. Q. If the Form 700 is postmarked by the due date, is it considered filed on time?
  - A. Yes.
5. Q. If an official holds multiple positions subject to filing obligations, is a statement required for each position?
  - A. Yes. However, in some circumstances, such an official may file an expanded statement instead. The expanded statement must cover all reportable interests for all jurisdictions and list all positions for which it is filed. The rules and processes governing the filing of an expanded statement are set forth in Regulation 18723.1.
6. Q. Do individuals need to file a complete Form 700 when they leave office?
  - A. Yes. The same requirements apply for the assuming office, the annual, and the leaving office filings.
7. Q. An individual is hired into a newly created management position in her agency's Information Technology Department. How does she complete the Form 700?
  - A. Because it is a newly created position, the law requires that economic interests be reported under the broadest disclosure category in the agency's conflict of interest code unless the agency sets interim disclosure that is tailored to the limited range of duties of the position. An individual may request that the agency complete the Form 804 (Agency Report of New Positions) to tailor the disclosure category to the job duties of the new position. Generally, the Form 700 must be filed with the agency within 30 days of the date of hire.
8. Q. Must board members of a non-profit public benefit corporation that operates California charter schools file Form 700?
  - A. Yes. Members of charter schools are public officials and must file the Form 700.

### **Income Questions**

9. Q. Must an official report a spouse's or registered domestic partner's salary?
  - A. Generally an official is required to report their community property share (50%) of their spouse's or registered domestic partner's salary. The disclosure lists the employer's name as the source of income on Schedule C of the Form 700. If the spouse or registered domestic partner is self-employed, the business entity is reported on Schedule A-2. Officials should check their disclosure category, if applicable, to determine if the income is reportable. A spouse or registered domestic partner's government salary is not reportable (e.g., spouse is a teacher at a public school).
10. Q. If an official receives income as a gig worker for companies such as Uber, Lyft, DoorDash, Instacart, etc., is that income reportable on the Form 700?
  - A. Yes, this income is reportable if the source of income is doing business in the official's jurisdiction. If the official is an independent contractor of the company, the official will report the income on Schedule A-2. If the official is an employee of the company, the official will report the income on Schedule C.

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11. Q. If an official and their spouse have a legally separate property agreement (e.g., prenuptial), must the official still report their community property share (50%) in their spouse's income?

A. No. If there is a legally separate property agreement, the official is not required to report their community property share in their spouse's income so long as the funds are not commingled with community funds or used to pay for community expenses or to produce or enhance the official's separate income. This reporting exception does not apply to investments and interests in real property. Even if a public official and their spouse have a separate property agreement, the spouse's investments and interests in real property must still be disclosed because the definitions of reportable investments and interests in real property include those held by the official's immediate family (spouse, registered domestic partner, and dependent children). These definitions are not dependent on community property law.

12. Q. If an official owns a business in which he has received income of \$10,000 or more from a client, is the official required to disclose the client's name on Schedule A-2, Part 3?

A. Yes, except for under rare circumstances where disclosure of the identity would violate a legally recognized privilege under California or federal law. In these cases, the FPPC may authorize an exemption. (Regulation 18740)

13. Q. When an official purchases a new car and trades in the old car as credit toward the purchase price, is the trade-in allowance considered reportable income on the Form 700?

A. No. A trade-in allowance is not considered income and is not reportable on an official's Form 700. However, income received from the sale of an auto may be reportable.

14. Q. An official owns a rental property that they are required to report. The renter/tenant pays a property management company and the company deposits the funds into the official's checking account. Would the source of rental income be listed as the property management company or the person living at the residence who is paying the property management company?

A. The source of the rental income is the person living at the residence (renter/tenant). The property management company does not need to be disclosed.

### **Investment Questions**

15. Q. An official holds various stocks through an account managed by an investment firm. The account manager decides which stocks to purchase with no input from the official. Are the stocks subject to disclosure?

A. Yes. Unless the stocks are in a diversified mutual fund registered with the SEC or in a fund similar to a diversified mutual fund (e.g., exchange traded fund (ETF)) if the similar fund meets the specific criteria outlined in Regulation 18237. Any investments worth \$2,000 or more in a business entity located in or doing business in the jurisdiction must be disclosed on Schedule A-1 or A-2 if the official's disclosure category requires that the investments be reported.

16. Q. Are funds invested in a retirement account required to be disclosed?

A. Investments held in a government defined-benefit pension program plan (e.g., CalPERS) are not reportable. Investments held in a fund such as a defined contribution plan 401(k) or exchange traded fund (ETF) are not required to be disclosed if the fund meets the specific criteria outlined in Regulation 18237. An official may need to contact their account manager for assistance in determining what assets are held in the account.

California Fair Political Practices Commission  
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17. Q. If an official reported stocks that were acquired last year on their annual Form 700, must the stocks be listed again on the official's next Form 700?

A. Yes. Stocks that are worth \$2,000 or more during the reporting period must be reported every year that they are held. The "acquired" and "disposed" dates are only required if the stocks were acquired or disposed of during the period covered by the Form 700.

18. Q. How are interests in a living trust reported if the trust includes: (1) rental property in the official's jurisdiction; (2) a primary residence; and (3) investments in diversified mutual funds? Are there different disclosure rules?

A. The name of the trust is reported, along with the rental property and its income, on Schedule A-2. The official's primary residence, if used exclusively as a personal residence, and investments in diversified mutual funds registered with the SEC, are not reportable. Although the official's primary residence is not required to be disclosed on the Form 700, it is still considered an economic interest for conflict of interest purposes. (See Question 18.) A secondary residence not used exclusively for personal purposes may be reportable. (See Question 19.)

19. Q. A Form 700 filer has a 10% or greater ownership interest in a company that provides uncompensated, pro-bono, or volunteer services within the filer's jurisdiction. Must this investment be disclosed on Schedule A-2 of the Form 700?

A. Yes. An investment must be disclosed if there is any financial interest in a business entity that does business or plans to do business within the jurisdiction (See Government Code 82034). Although the services are uncompensated, "doing business in" is defined as having business contacts on a regular or substantial basis including providing services or goods (Regulation 18230).

20. Q. An official holds an investment (stocks, partnership, etc.) or receives income from a business entity. How is the name of the business entity reported?

A. An official must report the full name of the business entity interest. Do not use acronyms for the name of the business entity unless it is one that is commonly understood by the public.

## **Real Property Questions**

21. Q. Is an official's personal residence reportable?

A. Generally, any personal residence occupied by an official or their family is not reportable if used exclusively as a personal residence. However, a residence for which a business deduction is claimed is reportable if the portion claimed as a tax deduction is valued at \$2,000 or more. In addition, any residence for which an official receives rental income is reportable if it is located in the jurisdiction.

22. Q. When an official is required to report interests in real property, is a secondary residence reportable?

A. It depends. First, the residence must be located in the official's jurisdiction. If the secondary residence is located in the official's jurisdiction and rental income is received (including from a family member), the residence is reportable. However, if the residence is used exclusively for personal purposes and no rental income is received, it is not reportable. Although the secondary residence may not be reportable, it is still considered an economic interest for conflict of interest purposes.

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23. Q. If a primary or secondary personal residence is required to be reported, is the street address required to be disclosed?

A. No. The assessor's parcel number may be listed instead of the street address.

### **Enforcement Question**

24. Q. What is the penalty for not filing the Form 700 on time or not reporting all required economic interests?

A. A late fine of \$10 per day up to a maximum of \$100 may be assessed. If an individual does not pay a late fine, the matter may be referred to the Franchise Tax Board for collection. In addition, if a matter is referred to the FPPC's Enforcement Division for failure to file or failure to include all required economic interests, the fine may be substantially higher.

### **Gift/Travel Questions**

25. Q. What is the gift limit for 2023-2024?

A. **\$590:** This means that gifts from a single, reportable source, other than a lobbyist or lobbying firm (see below), may not exceed \$590 in a calendar year. For officials and employees who file the Form 700 under an agency's conflict of interest code ("designated employees"), this limit applies only if the official or employee would be required to report income or gifts from that source on the Form 700, as outlined in the "disclosure category" portion of the agency's conflict of interest code. For conflict of interest purposes, the gift must be under \$590 to avoid consideration under the conflict rules.

#### **State Lobbyist & Lobbying Firm Limit:**

**\$10:** State candidates, state elected officers, and state legislative officials may not accept gifts aggregating more than **\$10 in a calendar month that are made or arranged by a registered state lobbyist or lobbying firm.** The same rule applies to state agency officials, including members of state boards and commissions, if the lobbyist or firm is registered to lobby, or should be registered to lobby, the official's or employee's agency.

26. Q. During the year, an official received several gifts of meals from the same reportable source. Each meal was approximately \$35. Is the source reportable?

A. Yes. Gifts from the same reportable source are aggregated, and the official must disclose the source when the total value of all meals reaches or exceeds \$50.

27. Q. How does an individual return a gift so that it is not reportable?

A. Unused gifts that are returned to the donor or reimbursed within 30 days of receipt are not reportable. The recipient may also donate the unused item to a charity or a governmental agency within 30 days of receipt or acceptance so long as the donation is not claimed as a tax deduction. An individual may not, however, reimburse a charity for the value (or partial value) of a gift from another source, in order to not report the gift, unless the charity was the original source of the gift.

28. Q. Two people typically exchange gifts of similar value on birthdays. Are these items reportable?

A. No. Gift exchanges with individuals, other than lobbyists, on birthdays, holidays, or similar occasions, are not reportable or subject to gift limits. The gifts exchanged must be similar in value.

29. Q. Must an official report gifts received from an individual whom the official is dating?

A. No. Gifts of a personal nature exchanged because the individuals are in a bona fide dating relationship are not reportable or subject to gift limits. However, the official remains subject to the conflict of interest rules and some matters may require recusal from voting.

30. Q. If an official makes a speech related to national public policy and their spouse attends the dinner at the event, is the spouse's meal considered a gift to the official?

A. Yes. The official's meal is not a reportable gift; however, their spouse's meal is a gift and reportable on the official's Form 700 if the value is \$50 or more.

31. Q. A vendor that does business with the agency provided entertainment tickets to the spouse of one of the agency members. Must the member report the tickets as gifts?

A. Yes. Unless an exception applies, the tickets are a reportable gift. A gift to an official's spouse is a gift to the official when there is no established working, social, or similar relationship between the donor/vendor and the spouse or there is evidence to suggest that the donor had a purpose to influence the official.

32. Q. An agency received two free tickets to a concert from a local vendor. The agency has a policy governing the reporting of tickets and passes distributed to persons for use in ceremonial roles or other agency related activities. The agency had discretion to determine who in the agency received the tickets. Each ticket was valued at \$140. If the agency director used the tickets, how are they reported?

A. Assuming the tickets meet the agency's policy as an appropriate use of public funds, the agency may report the tickets (worth \$280) on the Form 802 (Agency Report of Ceremonial Role Events and Ticket/Pass Distributions), which is a public record. The director does not need to report the tickets on the Form 700.

33. Q. An agency received a large box of chocolates as a holiday gift from a local merchant. It was addressed to the agency and not to a particular employee. Is there a reporting requirement?

A. No. There is no reporting requirement if the value received by each agency employee is less than \$50.

34. Q. An agency official receives a gift basket specifically addressed to the official worth more than \$50 from a local merchant. Is there a reporting requirement?

A. If the source of the gift basket is reportable by the official, the official must report the gift, even if they share the gift with other agency employees.

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35. Q. Do prizes donated to a governmental agency by an outside source constitute gifts under the Act if they were received by city employees in a drawing conducted by the city for all city employees participating in the city's charitable food drive?

A. Yes. The prizes are gifts if donated by an outside source and subject to the Act's limits and reporting requirements.

36. Q. An official won a scholarship in a raffle at a software update training class. The scholarship covered the cost of the class. All attendees, including other public officials and members of the public, were eligible to apply for the scholarship. Is the official required to report the scholarship as a gift?

A. A scholarship received in a "bona fide" competition may be reported as income instead of a gift. Whether or not a competition or contest is "bona fide" depends on specific facts, such as the nature of the pool of contestants. Contact the FPPC for assistance.

37. Q. Is a ticket provided to an official for their admission to an event at which the official performs a ceremonial role or function on behalf of their agency reportable on the official's Form 700?

A. No, so long as the organization holding the event provides the ticket and so long as the official's agency completes the Form 802 (Agency Report of Ceremonial Role Events and Ticket/Pass Distributions). The form will identify the official's name and explain the ceremonial function. (See Regulation 18942.3 for the definition of "ceremonial role.")

38. Q. An official makes an annual donation to an educational organization that has a 501(c)(3) tax-exempt status. The organization is holding a two-hour donor appreciation event, which will include wine, appetizers, and music. Free access to the event is being provided to all donors to the organization. Must the official report the event as a gift from the organization?

A. Because free access to the event is offered to all of the organization's donors, without regard to official status, access to the event is not a reportable gift.

39. Q. Are frequent flyer miles reportable?

A. No. Discounts received under an airline's frequent flyer program that are available to all members of the public are not required to be disclosed.

**IMPORTANT NOTE: See Regulation 18950.1 for additional information on reporting travel payments. In some circumstances the agency may report the travel in lieu of the official reporting the travel.**

40. Q. If a non-profit organization pays for an official to travel to a conference after receiving the funds to pay for the travel from corporate sponsors, specifically for the purpose of paying for the official's travel, is the non-profit organization or the corporate sponsors the source of the gift?

A. The corporate sponsors are the source of the gift if the corporate sponsors donated funds specifically for the purpose of the official's travel. Thus, the benefit of the gift received by the official would be pro-rated among the donors. Each reportable donor would be subject to the gift limit and identified on the official's Form 700. The FPPC should be contacted for specific guidance to determine the true source of the travel payment.

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41. Q. May an official accept travel, lodging and subsistence from a foreign sister city while representing the official's home city?

A. Yes. If the travel and related lodging and subsistence is paid by a foreign government and is reasonably related to a legislative or governmental purpose, it is not subject to the gift limit. However, the payments must be disclosed as gifts on the Form 700 for this exception to apply. While in the foreign country, any personal excursions not paid for by the official must also be disclosed and are subject to the gift limit. If private entities make payments to the foreign government to cover the travel expenses, the gift limit will apply and travel payments will likely be prohibited. Please contact the FPPC for more information.

42. Q. An analyst for a state or local agency attends a training seminar on the new federal standards related to the agency's regulatory authority. If the analyst's travel payments are paid by the federal agency, must the analyst report the payment on the Form 700?

A. No. A payment for travel and related per diem received from a government agency for education, training, or other inter-agency programs or purposes, is not considered a gift or income to the official who uses the payment.

43. Q. A state legislator and a planning commissioner were guest speakers at an association's event. Travel expenses were paid by the association, and the event was held in the United States. Is this reportable?

A. Yes. The payment is reportable, but not subject to the gift limits. In general, an exception applies to payments for travel within the United States that are provided to attend a function where the official makes a speech. These payments are not limited, but are reportable as gifts. The rules require that the speech be reasonably related to a legislative or governmental purpose, or to an issue of state, national, or international public policy; and the travel payment must be limited to actual transportation and related lodging and subsistence the day immediately preceding, the day of, and the day immediately following the speech. (See Government Code Section 89506. Other rules may be applicable if this exception is not used.)

44. Q. An official serves as a board member for two organizations – one has a 501(c)(3) tax-exempt status and the other has a 501(c)(6) tax-exempt status. The organizations pay the official's travel expenses to attend board meetings. Must the official report these travel payments?

A. Under the Act, travel payments provided to an official by a 501(c)(3) organization are exempt from the definition of "income" and therefore, not reportable. However, travel payments from other organizations, including a 501(c)(6) organization, are likely required to be reported. Designated employees must report such travel payment if the organization is reportable pursuant to the official's disclosure category in their agency's conflict of interest code.

45. Q. The local airport authority issues a certain number of airport parking cards to the County to allow the cardholders to use the parking facilities at the airport at no charge, provided the cardholder is on official business. Must the officials who use the parking cards report a gift on the Form 700?

A. No. As long as the parking cards are used for official business only, the parking cards do not provide a personal benefit, so no gift is received. If a parking card is used for *personal* purposes, a gift must be reported.

## **Tickets to Non-Profit and Political Fundraisers Questions**

46. Q. An official is offered a ticket from a 501(c)(3) organization to attend its fundraising event. The face value (price) of the ticket is \$500, and the ticket states that the tax deductible portion is \$350. If the official accepts the ticket, what must be reported?

A. Nothing is required to be reported on the Form 700, so long as the ticket is provided directly by the 501(c)(3) organization for its own fundraising event and is used for the official's own attendance at the fundraiser. In this case, the ticket is deemed to have no value. The official may also accept a second ticket provided directly by the 501(c)(3) organization for their guest attending the event, without a reporting obligation by either the official or the guest.

47. Q. What if someone purchases a table at a non-profit fundraiser and offers an official a seat at the table?

A. If another person or entity provides a ticket, it is a gift and subject to the gift limit. The value is the non-deductible portion on the ticket. If there is no declared face value, then the value is the pro-rata share of the food, catering service, entertainment, and any additional item provided as part of the event. The "no value" exception only applies if the official receives no more than two tickets for their own use directly from the 501(c)(3) organization and it is for the organization's fundraising event.

48. Q. A 501(c)(3) organization provides a ticket to an official for its fundraising event. The organization seats the official at a table purchased by a business entity. Does the official have to report the ticket?

A. No. So long as the ticket is provided directly by the 501(c)(3) organization and is used for the official's own attendance at the fundraiser, the ticket is not reportable regardless of where the official is seated.

49. Q. An agency employee who holds a position designated in its agency's conflict of interest code receives a ticket to a fundraiser from a person not "of the type" listed in the agency's code. Is the agency employee required to report the value?

A. No. A ticket or any other gift may be accepted under these circumstances without limit or reporting obligations. Agencies must ensure the conflict of interest code adequately addresses potential conflicts of interests but not be so overbroad as to include sources that are not related to the employee's official duties.

50. Q. An official receives a ticket to attend a political fundraiser held in Washington D.C. from a federal committee. Is the official required to disclose the ticket as a gift, and is it subject to the gift limit?

A. No. The value of the ticket is not a gift, so long as the ticket is provided to the official directly by the committee holding the fundraiser and the official personally uses the ticket. (Regulation 18946.4.) Separate rules apply for travel provided to attend the fundraiser. Regulation 18950.3 covers issues on travel paid by or for a campaign committee.

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51. Q. A political party committee is holding a political fundraiser at a golf course and a round of golf is included. If the committee provides an elected official a ticket, is the ticket reportable by the official?

A. No, so long as the official uses the ticket for their own use. If someone other than the political party provides a ticket, the full cost of the ticket is a gift. The political party must report the total amount spent on the fundraiser on its campaign statement.

52. Q. If a business entity offers an official a ticket or a seat at a table that was purchased for a political fundraiser, what is the value?

A. Because the ticket was not offered by the campaign committee holding the fundraiser, it is a gift to the official. The value is either the face value of the ticket or the pro-rata share of the food, catering services, entertainment, and any additional benefits provided to attendees.

53. Q. If an official attends an event that serves only appetizers and drinks, does the “drop-in” exception apply no matter how long the official stays or how many appetizers or drinks are consumed?

A. No. The focus of the “drop-in” exception is on the official’s brief attendance and limited consumption, not on the nature of the event as a whole. If an official attends an event that serves only appetizers and drinks, the “drop-in” exception applies only if the official just “drops in” for a few minutes and consumes only a “de minimis” amount of appetizers and drinks. The “drop-in” exception does not automatically apply just because the event does not serve more than appetizers and drinks.

54. Q. An organization, which is not a 501(c)(3) organization, is holding a fundraiser at a professional sporting event. Tickets to this sporting event are sold out and it appears that tickets are only available at a substantially higher price than the face value amount of the ticket provided to the official by the organization. If the official attends the event, what is the value of the gift?

A. The value is the face value amount on the ticket to the sporting event. This valuation rule applies to all tickets to such events that are not covered by a separate valuation exception, such as non-profit and political party fundraisers.

55. Q. An official receives a ticket to a fundraiser, and if accepted, the ticket will result in a reportable gift or a gift over the current gift limit. What are the options?

A. The official may reimburse the entity or organization that provided the ticket for the amount over the gift limit. Alternatively, the official may pay down the value of the ticket to under the \$50 gift reporting threshold if the official does not want to disclose the ticket. Reimbursement and/or pay down must occur within 30 days of receipt of the ticket. A candidate or elected official may use campaign funds to make the reimbursement if the official’s attendance at the event is directly related to a political, legislative, or governmental purpose. A ticket that is not used and not given to another person is not considered a gift to the official and therefore is not reportable.

**TITLE II—ADMINISTRATION**

**CHAPTER 8—CONFLICT OF INTEREST CODE**

(Established Ord. 946, eff. 7/4/1980; Amd. Ord. 1193, eff. 7/31/1992; Ord. 1197, eff. 9/18/1992; Ord. 1230, eff. 10/21/1994; Ord. 1232 eff. 1/06/1995; Ord. 1243 eff. 10/20/1995; Ord. 1290, eff. 4/02/1999; Ord. 1295 eff. 8/20/1999; Ord. 1314, eff. 11/17/2000; Ord. 1348 eff. 11/5/2004; Ord. 1357 eff. 12/1/2006. Ord. No. 1381, eff. 10/31/2008 Ord. 1404, eff. 11/5/2010; Ord. 1423, eff. 11/2/2012; Ord. 1447, eff. 10/31/2014; Ord. 1476, eff. 10/7/2016; Ord. 1516, eff. 8/16/2019; Ord. 1535, eff. 10/16/2020; Ord. 1558, eff. 10/21/2022)

**ARTICLE 1—CITY COUNCIL**

(Amd. Ord. 1516, eff. 8/16/2019)

**SEC. 2900. Adoption of conflict of interest code—City Council.**

In compliance with Section 87300 of the Government Code, the City Council hereby adopts this Conflict of Interest Code.

**SEC. 2901. Application of code.** (Amd. Ord. 1516, eff. 8/16/2019)

This Conflict of Interest Code shall be applicable to members of the City Council, whether acting as a Councilmember or as a governing board member or commissioner of any City agency, to the City Manager, City Attorney, City Treasurer, and to designated employees as specified in Article 2 of this Chapter.

**SEC. 2902. Disclosure.** (Amd. Ord. 1516, eff. 8/16/2019)

Members of the City Council, the City Manager, City Attorney and City Treasurer are required, pursuant to Government Code Section 87200, to disclose investments, interests in real property and other income. No other or no additional disclosure requirements are imposed by this Conflict of Interest Code.

**SEC. 2903. Circumstances requiring disqualification.** (Ord.1197, eff. 9/18/1992; Ord. 1516, eff. 8/16/2019)

Any member of the City Council, City Manager, City Attorney and City Treasurer must disqualify himself or herself from making or participating in the making of any decisions which will foreseeably have a material financial effect, distinguishable from its effect on the public generally, on any economic interest, as defined in Government Code Section 87103. No such official as enumerated herein shall be prevented from making or participating in the making of any decision to the extent his or her participation is legally required for the decision to be made.

**SEC. 2904. Definitions.**

Except as otherwise indicated, the definitions contained in the Political Reform Act of 1974 (Government Code Section 81000) and Regulations adopted pursuant thereto are incorporated into this Conflict of Interest Code.

## **ARTICLE 2—CITY EMPLOYEES**

### **SEC. 2905. Adoption of conflict of interest code - City employees.** (Amd. Ord. 1348, eff. 11/5/2004; Ord. 1404, eff. 11/5/2010)

In compliance with the Political Reform Act of 1974, California Government Code Section 81000, and following, and specifically with Section 87300, and following, the City of Arcata hereby adopts this Conflict of Interest Code which shall be applicable to all designated employees of the agency. The requirements of this Code are in addition to other requirements of the Act such as the general prohibition against conflicts of interest contained in Government Code Section 87100, and to any other state or local laws pertaining to conflicts of interest. This code adopts by reference Fair Political Practices Commission regulation 2 Cal. Code Regs. Section 18730. In the event of conflict between this code and Section 18730, the provisions of Section 18730 shall control.

### **SEC. 2906. Definition of terms.**

The definitions contained in the Political Reform Act of 1974, the regulations of the Fair Political Practices Commission and any amendments to the Act or regulations, are incorporated by reference into this Conflict of Interest Code.

### **SEC. 2907. Designated employees.**

The persons holding positions listed in Section 2915 are designated employees. It has been determined that these officers and employees make or participate in the making of decisions which may foreseeably have a material effect on financial interest.

### **SEC. 2908. Disclosure statements.**

A designated employee shall be assigned one or more of the disclosure categories set forth in Section 2916. It has been determined that the financial interest set forth in a designated employee's disclosure category are the types of financial interests which he or she foreseeably can affect materially through the conduct of his or her office. Each designated employee shall file statements of economic interests disclosing his or her financial interests as required by the applicable disclosure category.

### **SEC. 2909. Place of filing.**

All designated employees required to submit a statement of economic interests shall file the original with the City Clerk of the City of Arcata who shall be the filing officer for all designated employees.

Upon receipt of the statement of economic interests of the designated employees, the City Clerk of the City of Arcata shall make and retain a copy and forward the originals of these statements to the City Council of the City of Arcata who shall be the filing officer, within five days of the filing deadline or five days of receipt in the case of statements filed late.

**SEC. 2910. Time of filing.** (Amd. Ord. 1197, eff. 9/18/1992)

(a) Initial Statements. All designated employees employed by the agency on the effective date of this Code shall file statements within thirty days after the effective date of this Code. Thereafter, each person already in a position when it is designated as subject to disclosure requirements by an amendment of this Code shall file an initial statement within thirty (30) days after the effective date of the amendment.

(b) Assuming Office Statements.

(1) All persons assuming designated positions after the effective date of this Code shall file statements within thirty (30) days after assuming the designated positions.

(2) All other persons appointed, promoted or transferred to designated positions after the effective date of this Code, shall file statements within ten (10) days after assuming office, (or if subject to confirmation, ten days after being nominated or appointed).

(c) Annual Statements. All designated employees shall file statements no later than April 1.

(d) Leaving Office Statements. All persons who leave designated positions shall file statements within thirty (30) days after leaving office.

(e) Statements for persons who resign 45 days after appointment. Persons who resign within forty-five (45) days from initial appointment are not deemed to have assumed office or left office, provided they did not make or participate in the making of, or use their position to influence any decision and did not receive or become entitled to receive any form of payment as a result of their appointment. Such persons shall not file either an assuming or leaving office statement.

**SEC. 2911. Contents of statements.** (Amd. Ord. 1197, eff. 9/18/1992)

(a) Contents of Initial Statements. Initial statements shall disclose any reportable investments, interest in real property and business positions held on the effective date of the Code and income received during the twelve (12) months prior to the effective date of the Code.

(b) Assuming Office Statements. Assuming office statements shall disclose any reportable investment, interests in real property and business positions held on the date of assuming office and income received during the twelve (12) months prior to the date of assuming office or the date of being appointed.

(c) Contents of Annual Statements. Annual statements shall disclose any reportable investments, interests in real property, income and business positions held or received during the previous calendar year provided, however, that the period covered by an employee's first annual statement shall begin on the effective date of the Code or the date of assuming office whichever is later.

(d) Contents of Leaving Office Statements. Leaving office statements shall disclose reportable investments, interests in real property, income and business positions held or received during the period between the closing date of the last statement filed and the date of leaving office.

**SEC. 2911.5. Manner of Reporting.** (Amd. Ord.1348, eff. 11/5/2004)

Disclosure statements shall be made on forms supplied by the City of Arcata, and shall contain the following information:

(a) Contents of Investment and Real Property Reports. When an investment or interest in real property is required to be reported, the statement shall contain the following:

- (1) A statement of the nature of the investment or interest;
- (2) The name of the business entity in which each investment is held, and a general description of the business activity in which the business entity is engaged;
- (3) The address or other precise location of the property;
- (4) A statement whether the fair market value of the investment or interest in real property exceeds two thousand dollars (\$2,000), exceeds ten thousand dollars (\$10,000), exceeds one hundred thousand dollars (\$100,000), or exceeds one million dollars (\$1,000,000).

(b) Contents of Personal Income Reports. When personal income is required to be reported, the statement shall contain:

- (1) The name and address of each source of income aggregating five hundred dollars (\$500) or more in value, or fifty dollars (\$50) or more in value if the income was a gift, and a general description of the business activity, if any, of each source.
- (2) A statement whether the aggregate value of income from each source was one thousand dollars (\$1,000) or less, greater than one thousand dollars (\$1,000), greater than ten thousand dollars (\$10,000), or greater than one hundred thousand dollars (\$100,000).
- (3) A description of the consideration, if any, for which the income was received;
- (4) In the case of a gift, the name, address and business activity of the donor and intermediary through which the gift was made, a description of the gift, the amount or value of the gift, and the date on which the gift was received.

(c) Contents of Business Entity Income Reports. When income of a business entity, including income of a sole proprietorship, is required to be reported, the statement shall contain:

- (1) The name, address, and a general description of the business activity of the business entity;

(2) The name of every person from whom the business entity received payments if the filer's pro rata share of gross receipts from such person was equal to or greater than ten thousand dollars (\$10,000).

(d) Contents of Business Position Reports. When business positions are required to be reported, a designated employee shall list the name and address of each business entity in which he or she is a director, officer, partner, trustee, employee, or in which he or she holds any position of management, a description of the business activity in which the business entity is engaged, and the designated employee's position with the business entity.

(e) Acquisition or Disposal During Reporting Period. In the case of an annual or leaving office statement, if an investment or interest in real property was partially or wholly acquired or disposed during the period covered by the statement, the statement shall contain the date of acquisition or disposal.

**SEC. 2912. Disqualification.** (Amd. Ord. 1243, eff. 10/20/1995; Ord. 1348, eff. 11/5/2004; Ord. 1357, eff. 12/1/2006; Ord. 1476, eff. 10/7/2016; Ord. 1535, eff. 10/16/2020; Ord. 1558, eff. 10/21/2022)

Designated employees must disqualify themselves from making, participating in the making or using their official positions to influence the making of any governmental decision which will foreseeably have a material financial effect, distinguishable from its effect on the public generally, the official or a member of his or her immediate family on:

(a) Any business entity in which the designated employee has a direct or indirect investment worth two thousand dollars (\$2,000) or more;

(b) Any real property in which the designated employee has a direct or indirect interest worth two thousand dollars (\$2,000) or more;

(c) Any source of income, other than loans by a commercial lending institution in the regular course of business on terms available to the public without regard to official status, aggregating five hundred dollars (\$500) or more in value received by or promised to the designated employee within twelve (12) months prior to the time when the decision is made; or

(d) Any business entity in which the designated employee is a director, officer, partner, trustee, employee, or holds any position of management; or

(e) Any donor of, or any intermediary or agent for a donor of, a gift or gifts aggregating five hundred dollars (\$500) or more in value, provided to, received by, or promised to the designated employee within twelve (12) months prior to the time when the decision is made.

(f) No designated employee shall be prevented from making or participating in the making of any decision to the extent his or her participation is legally required for the decision to be made. The fact that a designated employee's vote is needed to break a tie does not make his or her participation legally required for purposes of this section.

## **SEC. 2913. Manner of Disqualification.**

A designated employee required to disqualify himself or herself shall notify his or her supervisor in writing. This notice shall be forwarded to the City Clerk of the City of Arcata, who shall record the employee's disqualification. Upon receipt of such statement, the supervisor shall reassign the matter to another employee.

In the case of a designated employee who is a board member or commissioner, notice of disqualification shall be given at the meeting during which consideration of the decision takes place and shall be made part of the official record of the board or commission.

## **SEC. 2915. Designated Employees.** (Amd. Ord. 1193, eff. 8/31/1992; Ord. 1230, eff. 10/21/1994; Ord. 1290, eff. 4/2/1999; Ord. 1314, eff. 11/17/2000; Ord. 1348, eff. 11/5/2004; Ord. 1357, eff. 12/1/2006; Ord. 1381, eff. 10/31/2008; Ord. 1404, eff. 11/5/2010; Ord. 1423, eff. 11/2/2012; Ord. 1447, eff. 10/31/2014; Ord. 1476, eff. 10/7/2016; Ord. 1535, eff. 10/16/2020; Ord. 1558, eff. 10/21/2022; Ord. 1567, eff. 3/22/2024)

The following positions are designated pursuant to Government Code Section 87302 and are required to disclose financial interests as specified by the listed disclosure category, which is described in Section 2916. In addition, such positions as are designated herein are subject to disqualification pursuant to Section 2912.

### **(a) Employees:**

<u>Position:</u>	<u>Disclosure Category:</u>
City Engineer	1, 2
Director of Community Development	1, 2
Director of Environmental Services	1, 2
Deputy Director of Community Development	1, 2
Deputy Director of Environmental Services— Community Services	1, 2
Deputy Director of Environmental Services— Streets/Utilities	1, 2
Deputy Director of Information Technology	1, 2
Police Chief	1, 2
Human Resources/Administrative Services Director	1, 2
Assistant City Engineer	2, 3, 4
Building Official	2, 3, 4

### **(b) Consultants:**

(1) For purposes of this Code, consultants shall be considered designated employees and shall disclose pursuant to the broadest disclosure categories in Section 2916, specifically, shall disclose pursuant to categories 1 and 2, subject to the limitation that the City Manager or his or her designee may determine in writing that a particular consultant is hired to perform a range of duties that are limited in scope and thus is not required to fully comply with the disclosure requirements described in this Code. Such written determination shall include a description of the consultant's duties and, based upon that description, a statement of the extent of the disclosure requirements. The City Manager or his or her designee's determination shall

become a public record and shall be retained for public inspection in the same manner and location as this Conflict of Interest Code.

(2) As used in this Code, a "consultant" is a natural person who provides, under contract, information, advice, recommendation or counsel to a local government agency. The term "consultant" does not include a person who:

- (i) Conducts research and arrives at conclusions with respect to his or her rendition of information, advice, recommendation or counsel independent of the control and direction of the agency or agency official, other than normal contract monitoring; and,
- (ii) Possesses no authority with respect to any agency decision beyond the rendition of information, advice, recommendation or counsel.

## **SEC. 2916. Disclosure categories.**

- (a) General provisions.

When a designated employee is required to disclose investments and sources of income, he or she need only disclose investments in business entities and sources of income which do business in the jurisdiction, plan to do business in the jurisdiction or have done business in the jurisdiction within the past two years. In addition to other activities, a business entity is doing business within the jurisdiction if it owns real property within the jurisdiction. When a designated employee is required to disclose interests in real property, he or she need only disclose real property which is located in whole or in part within or not more than two miles outside the boundaries of the jurisdiction or within two miles of any land owned or used by the local government agency.

- (b) Disclosure categories defined.

Category 1: All investments and business positions in business entities, and all sources of income.

Category 2: All interests in real property.

Category 3: Investments and business positions in business entities and income from sources which engage in land development, construction, building, material supply, or the acquisition or sale of real property.

Category 4: Investments and business positions in business entities and income from sources of the type which, within the past two years, have contracted with the City of Arcata to provide services, supplies, materials, machinery or equipment.

Category 5: Investments and business positions in business entities and income from sources of the type which, within the past two years, have contracted with the designated employee's department to provide services, supplies, materials, machinery or equipment.

**ARTICLE 3: *Repealed.*** (Ord. 1381, eff. 10/31/2008)

**ARTICLE 4—CERTAIN OTHER CITY COMMITTEES AND COMMISSIONS**

(Amd. Ord. 1232, eff. 1/6/1995; Ord. 1295, eff. 8/20/1999; Ord. 1381, eff. 10/31/2008; Ord. 1516, eff. 8/16/2019)

**SEC. 2960. Adoption of conflict of interest code.** (Amd. Ord. 1232, eff. 1/6/1995; Ord. 1295, eff. 8/20/1999)

In compliance with the Political Reform Act of the State of California, the City of Arcata hereby adopts this conflict of interest code, which will be applicable to all members of the Arcata Planning Commission, the Design Review Commission, the Nuclear Weapons Free Zone and Peace Commission, and the Economic Development Committee.

**SEC. 2961. Adoption of reference.** (Amd. Ord. 1232, eff. 1/6/1995; Ord. 1381, eff. 10/31/2008; Ord. 1516, eff. 8/16/2019)

Each of the members of the Arcata Planning Commission and the Economic Development Committee shall comply with all of the provisions of Article 2 of Title II of the Arcata Municipal Code. The disclosure categories, as listed in Section 2916, shall be as follows:

Arcata Planning Commission	All
Economic Development Committee	All

## **TAB 7—CAMPAIGN FINANCE**

**ARCATA MUNICIPAL CODE  
TITLE II—ADMINISTRATION**

**CHAPTER 10—CONTRIBUTION LIMITATIONS**

(Replacing Chapter Adopted by Initiative 4/14/1992)

(Amd. by Ord. 1221, eff. 3/04/1994; Ord. 1258, eff. 10/18/1996;  
Ord. 1309, eff. 9/15/2000; Ord. 1330, eff. 3/22/2002; Ord. 1347, eff. 9/03/2004;  
Ord. 1355, eff. 9/01/2006; and Ord. 1372, eff. 4/18/2008; Ord. 1414, eff. 5/18/2012  
Ord. 1445, eff. 7/2/2014; Ord. 1499, eff. 2/7/2018; Ord. 1525, eff. 3/20/2020; Ord. 1555, eff. 2/18/2022; Ord. 1566, eff. 01/17/2024)

**SEC. 3011. Definitions.**

The definitions and procedural requirements set forth in California Government Code Sections 81000, *et seq.* shall govern the interpretation of this Chapter unless otherwise defined as follows:

A. "Agency" means an agency as defined in California Government Code Section 82003 but also including all officials who are directly elected by the voters with the exception of the Courts or an Agency of the judicial branch.

B. "Election Cycle" means for each candidate or any controlled committee the four (4) year period immediately preceding the City election in which the candidate stands for election.

**SEC. 3012. Contribution limitations.** (Amd. Ord. 1221, eff. 3/04/1994; Ord. 1258, eff. 10/18/1996; Ord. 1309, eff. 9/15/2000; Ord. 1330, eff. 3/22/2002; Ord. 1347, eff. 9/03/2004; Ord. 1355, eff. 9/01/2006; Ord. 1372, eff. 4/18/2008; Ord. 1414, eff. 5/18/2012; Ord. 1445, eff. 7/2/2014; Ord. 1499, eff. 2/7/2018; Ord. 1525, eff. 3/20/2020; Ord. 1555, eff. 2/18/2022; Ord. 1566, eff. 1/17/2024)

A. Limitations on Contributions from Persons:

1. No person other than a candidate shall make, and no campaign treasurer shall solicit or accept, any contribution which will cause the total amount contributed by such person during an election cycle in support or opposition to such candidate for city office, including contributions to all committees supporting or opposing such candidate, to become an amount exceeding the base amount of one hundred dollars (\$100.00) for the election cycle, adjusted every two (2) years pursuant to Section 3015, to two hundred forty dollars (\$240.00) in 2024.

2. The terms in this subsection are applicable to any contributions made to a candidate or committee hereunder, whether used by such candidate or committee to finance a current campaign, to pay deficits incurred in other campaigns or for any other use.

B. Family Contributions:

1. Contributions by a husband and a wife shall be treated as separate contributions and shall not be aggregated.

2. Contributions by children under the age of eighteen (18) years of age shall be treated as contributions by their parents and attributed proportionately to each parent [one-half (1/2) to each parent or the total amount to a single custodial parent].

C. Loans:

1. Every loan to a candidate or the candidate's controlled committee shall be by written agreement, a copy of which shall be filed with the candidate's or committee's campaign statement on which the loan is first reported.

2. The proceeds of a loan made to a candidate by a commercial lending institution in the regular course of business on the same terms available to members of the public and which is secured or guaranteed shall not be subject to the contribution limitations of this Chapter.

3. Extensions of credit [other than loans pursuant to subsection (C)(2)] for a period of more than thirty (30) days are subject to the contribution limitations of this Chapter.

D. Notice of Independent Expenditures

Any person who makes independent expenditures of more than two hundred forty dollars (\$240.00), in support of or in opposition to any candidate shall notify the local filing officer and all candidates running for the same seat by telegram within five (5) days each time the two-hundred-forty-dollar (\$240.00) threshold is exceeded.

E. Organizational Contributions

1. No officer, employee, agent or attorney or other representative of a person covered by this Chapter shall aid, abet, advise or participate in a violation of this subsection.

2. No person shall knowingly accept a payment or contribution made in violation of this subsection.

3. This Chapter shall not prohibit a controlled committee of a candidate from conveying to that candidate any monies received by said committee as contributions within the limitations of this Chapter.

F. Duties of Campaign Treasurer

If a campaign treasurer is offered a contribution which would be in excess of the contribution limitations of this Chapter, the treasurer must refuse the contribution. If, however, a contribution is deposited in the campaign committee's account, which is in violation of this section, he or she shall report in writing within five (5) days to the City Clerk the facts surrounding such payment or contribution. Any such contribution so deposited shall be paid promptly, from available campaign funds, if any, to the City Treasurer for deposit in the General Fund of the City.

## **SEC. 3013. Enforcement.**

### **A. Violations and Penalties, Generally**

1. Any person who violates any provision of this Chapter is guilty of a misdemeanor. Any person who causes any other person to violate any provision of this Chapter, or who aids and abets any other person in violation of any provision of this Chapter, shall be liable under the provisions of this section. Prosecution of any provisions of this section, or prosecution of any provision of this Chapter shall be commenced within four (4) years after the date on which the violation occurred.

2. If, after election, a candidate is convicted of a violation of any provision of this Chapter, the election of office of such candidate shall be void and such office shall immediately become vacant. In such event the vacancy shall be filled in accordance with the procedures set forth in the California Government Code. If a candidate is convicted of a violation of this Chapter prior to election, his or her candidacy shall be terminated immediately and he or she shall no longer be eligible for election.

3. No person convicted of a misdemeanor under this Chapter shall be qualified or be a candidate for a period of four (4) years following the date of conviction unless the court at the time of sentencing specifically determines that in the interest of justice this provision shall not be applicable.

4. A plea of nolo contendre shall be deemed a conviction for purposes of this Section.

5. If any candidate is found guilty of violating the terms of this Chapter, an amount equal to or less than three (3) times the amount of the unlawful contribution or expenditure shall be paid by the candidate or committee treasurer who received such funds to the City Treasurer for deposit in the General Fund of the City.

### **B. Civil Actions**

1. Any person who intentionally or negligently violates any provision of this Chapter shall be liable in a civil action brought by the City Attorney or by a person residing within the City of Arcata for an amount not more than three (3) times the amount of the unlawful contribution or expenditure.

2. Any person, before filing a civil action pursuant to this subsection, shall first file with the City Attorney a written request for the City Attorney to commence action. The request shall contain a statement of the grounds for believing a cause of action exists. The City Attorney shall respond within forty (40) days after receipt of the request indicating whether he or she intends to file a civil action. If the City Attorney indicates in the affirmative and files a suit within forty (40) calendar days thereafter, no action may be brought unless the action brought by the City Attorney is dismissed without prejudice.

3. In determining the amount of liability, the court may take into account the seriousness of the violation and the degree of culpability of the defendant. If a judgment is entered against the defendant or defendants in an action, the plaintiff shall receive fifty percent (50%) of the amount recovered and the remaining fifty percent (50%) shall be deposited in the City's general fund. In an action brought by the City Attorney the entire amount shall be paid to the General Fund of the City.

4. No civil action alleging a violation of any provision of this Chapter shall be filed more than four (4) years after the date the violation occurred.

**C. Injunctive Relief**

1. Any person residing in the City of Arcata may sue to enjoin violations or to compel compliance with the provisions of this Chapter.

**SEC. 3014. Rules of construction.**

This Chapter shall be construed liberally in order to effectuate its purposes. No error, irregularity, informality, neglect or omission of any officer in any procedure taken under this Chapter which does not directly affect the jurisdiction of the City to control campaign contributions and expenditures shall void the effect of this Chapter.

**SEC. 3015. Recodification or amendment.** (Ord. 1566, eff. 01/17/2024)

A. Nothing shall prevent the City Council of the City of Arcata from recodifying the substantive provisions of this Chapter from time to time to incorporate the provisions of this Chapter into the City Code in the most appropriate locations.

B. The City Council shall, by ordinance, adjust the contribution limitations specified in this Chapter in January of every even-numbered year to reflect any changes in the Consumer Price Index using the All Urban Consumers (CPI-U), San Francisco-Oakland-Hayward, CA—All Items, not seasonally adjusted index measured from the October index two years prior to the most recently issued October index, as published by the United States Bureau of Labor Statistics. Such adjustments shall be rounded off to the nearest ten dollars (\$10).

**SEC. 3016. Severability.**

If any provision of this Chapter, or the application thereof, to any person or circumstance is found to be invalid, the validity of the remainder of the Chapter and the applicability of such provisions to other persons and circumstances shall not be affected thereby.

**SEC. 3017. Other remedies unimpaired.**

Remedies under this Chapter shall be cumulative and shall be in addition to any and all other remedies, civil or criminal, provided for under any other provision of federal, state or local law.

**SEC. 3018. Preservation of existing rights, obligations and penalties.**

Nothing in this Chapter shall alter or diminish any legal obligation otherwise required in common law or by statute or regulation, and nothing in this Chapter shall create or enlarge any defense in any action to enforce such legal obligation. Penalties and sanctions imposed under this Chapter shall be in addition to any penalties or sanctions otherwise prescribed by law.

**CAMPAIGN RULES PAGE:**

Bookmark the [Campaign Rules](#) page to find resources and answers to campaign-related questions throughout your campaign. All links noted below can be reached through the [Campaign Rules](#) page.

[FPPC Home Page](#) > [Learn](#) > [Campaign Rules](#)

**TWO IMPORTANT RULES TO REMEMBER:**

- Candidates **MUST** file Form 501 before soliciting or accepting contributions.
- Candidates **MUST** deposit funds into the campaign bank account before spending money on the campaign. Candidates may not spend money out of pocket for campaign expenses.

**FORMS TO START:**

- Form [501](#) – Candidate Intention Statement
- Form [410](#) – Statement of Organization (No bank account yet? Enter “Pending” where asked.)
- Form [700](#) – Statement of Economic Interests (See your elections official for filing date.)

**ID NUMBER:**

1. Send completed Form 410 to CA Secretary of State (SOS) and a copy to your local filing official.
2. SOS issues the committee ID number and posts it to their website, usually within 1-2 business days after receiving your completed Form 410.
3. To find your committee ID number, go to [cal-access.sos.ca.gov](#).
4. Enter your committee name in the search bar at top left of the screen.
  - If your committee ID number is not available, SOS may not have posted it yet. Or, the Form 410 may be incorrect and SOS will send you a notice via USPS.
  - To find out the status of your ID number, contact the SOS at (916) 653-6224.

**FILING SCHEDULES & DEADLINES:**

Determine what campaign reports are due, and when they're due, by reviewing your [filing schedule](#).

**MOST COMMON CAMPAIGN REPORTS:**

- Form [460](#) – Recipient Committee Campaign Statement
- Form [497](#) – 24-Hour Contribution Report

**MANUALS:**

- Disclosure [Manual 1](#) – State Candidates
- Disclosure [Manual 2](#) – Local Candidates and Judges

**CANDIDATE/TREASURER VIDEO:**

Watch the [Candidate/Treasurer video](#) and print the accompanying [slides](#).

**TRAINING OPPORTUNITIES:**

In addition to the video above, you may learn more by registering for [webinars and workshops](#).

[FPPC Home Page](#) > [Learn](#) > [Campaign Rules](#) > [Training & Outreach](#) > Candidate, Treasurer, or Committee?

**QUESTIONS?**

- [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)
- (866) 275-3772 Mon-Thurs, 9-11:30 a.m.



STATE OF CALIFORNIA  
FAIR POLITICAL PRACTICES COMMISSION  
**Local Candidate/Committee Checklist**

**○ File Form 501 (Candidate Intention)**

You must file [Form 501](#) before soliciting, raising or spending any money in connection with your election. The only exception to this requirement is if you use personal funds to pay a filing fee or ballot statement fee.

## Candidates Raising and Spending Less than \$2,000

**○ File Form 470 (Officeholder and Candidate Campaign Statement Short Form)**

The [Form 470](#) is filed by candidates who do not have a controlled committee and do not anticipate receiving or spending \$2,000 or more, including personal funds, in a calendar year. These candidates generally do not file a Form 410 or other campaign statements or reports related to their campaign unless they receive or anticipate receiving or spending \$2,000 or more.

## Candidates Raising \$2,000 or More

**○ File Form 410 (Statement of Organization)**

Once you receive or spend \$2,000 or more in a calendar year, you must file a [Form 410](#) as a recipient committee within 10 days of qualifying. File the original and one copy of the Form 410 with the Secretary of State and a copy with your local filing officer. The Secretary of State's address is on the Form 410.

**○ Open a Campaign Bank Account**

All monetary contributions (including all personal funds you use for your campaign) must be deposited in the campaign bank account before being spent. Never deposit campaign contributions in your personal bank account.

**○ Committee Treasurer**

The Act requires that every committee appoint a treasurer. The individual listed on the most recent Form 410 with the Secretary of State continues to be legally responsible until an amendment is filed to designate a new treasurer. Please note a candidate may act as his or her own treasurer.

**○ File Campaign Statements**

You must file campaign statements ([Form 460](#)) disclosing the committee's activity during a specified period. Please access the Commission's filing schedules to find the schedule that applies to you/your election. Committees are required to file campaign statements as well as other reports including semi-annual campaign statements until the committee terminates.

**○ 24-Hour Reports**

Within 90 days before the election, including the date of the election, if a committee receives a contribution(s) of \$1,000 or more from a single source, including loans from the candidate, the [Form 497](#) must be filed within 24 hours.

**○ Local Campaign Contribution Limits**

Make sure you are aware of any local contribution limits before accepting contributions.

**○ After the Election**

Following the election, your duty to file campaign statements continues until your committee terminates. In order to terminate, you must file a Form 460 with your local filing officer reporting a zero balance AND a Form 410 indicating the termination with the Secretary of State's Office and a copy with your local filing officer.

*This factsheet provides guidance and a general overview of the rules for campaigns, but it does not replace any requirements under the [Political Reform Act](#) or [Fair Political Practices Commission Regulations](#). Information here should be used in conjunction with a careful review of the applicable laws.*



STATE OF CALIFORNIA  
FAIR POLITICAL PRACTICES COMMISSION  
**Local Candidate/Committee Checklist**

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### Additional Resources and Helpful Links

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- [Campaign Manual 2 - For Local Candidates and their Controlled Committees](#)
- [All Campaign Forms](#)
- [Filing Schedules](#)
- [Fact Sheet on Terminating Your Committee](#)
- [Political Advertisement Disclaimers for Candidate Committees for their own Election](#)
- [Frequently Asked Questions on Campaign Activity](#)
- [Local Campaign Ordinances](#)
- [City and County Campaign Contribution Limits](#)

### Have Further Questions?

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Feel free to contact us by email at [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov) or by phone at 1-800-ASK-FPPC.  
Please note that our advice phone hours are 9:00 am – 11:30 am, Monday through Thursday.

*This factsheet provides guidance and a general overview of the rules for campaigns, but it does not replace any requirements under the [Political Reform Act](#) or [Fair Political Practices Commission Regulations](#). Information here should be used in conjunction with a careful review of the applicable laws.*

California Fair Political Practices Commission

## Frequently Asked Questions:

### Campaign Activity

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<b>Fundraising</b> .....	Page 4	<b>Expenditures</b> .....	Page 6
<b>Communications</b> .....	Page 7	<b>24-Hour Contribution Reports</b> ...	Page 7
<b>Enforcement</b> .....	Page 8	<b>Candidates</b> .....	Page 8

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The FAQs listed below are selected from questions people frequently ask the FPPC about campaign-related activity under the Political Reform Act ("Act"). All efforts have been made to provide helpful, easy-to-understand, answers to common questions. Please note that this fact sheet cannot address all of the unique variables and circumstances related to campaign activity. For more information, see the FPPC's campaign disclosure manuals or contact the FPPC with specific questions.

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#### **Getting Started Questions**

1. Q. When must a committee file a Statement of Organization (Form 410) with the Secretary of State's office?
  - A. The Form 410 is required to be filed within 10 days of raising \$2,000 or more, which is the threshold for qualifying as a committee.
2. Q. Is it possible for a committee to receive a committee ID number prior to meeting the \$2,000 threshold?
  - A. Yes. The Secretary of State will issue a committee ID number upon receipt of the Form 410, even if \$2,000 or more has not yet been raised. The "Not Yet Qualified" box should be marked and once the \$2,000 threshold is met, an amendment must be filed within 10 days to report the date the committee qualified.
3. Q. Is there a fee to register as a committee?
  - A. Yes. Committees are required to pay a \$50 fee to the Secretary of State within 15 days of filing the Form 410. In addition, a \$50 fee is required to be paid to the Secretary of State by January 15 of each year until the committee terminates.
4. Q. Who must be identified on the Form 410?
  - A. The name and contact information of the treasurer and principal officers, if any, must be provided, in addition to any candidate controlling the committee. If the committee will have an assistant treasurer, their contact information must be also included.
5. Q. Are there any specific accounting qualifications for someone to serve as a committee's treasurer?
  - A. No. An individual must be at a minimum 18 years of age to serve as a committee's treasurer. However, no individual should accept the position as a mere figurehead. To

adequately perform the duties, the treasurer must have a basic understanding of the campaign finance laws and the responsibilities of a committee treasurer.

6. Q. May a candidate serve as their own committee's treasurer?
  - A. Yes.
7. Q. Who is considered the principal officer for a non-candidate controlled committee?
  - A. The principal officer(s) is the individual or individuals responsible for approving the political activities of a committee, including: 1) authorizing the content of committee communications; 2) authorizing the committee's expenditures; and, 3) determining the committee's campaign strategy. The principal officer must ensure that accurate records are maintained and may be held liable for violations. A committee may have several principal officers. If there are more than three individuals serving as principal officers, only three must be identified on the Form 410. If no individual other than the treasurer is a principal officer, the treasurer must be identified as both the treasurer and the principal officer.
8. Q. After filing a Form 410, what is the next form required to be filed?
  - A. Typically, the Form 497 (24-Hour Contribution Report) is the next required form. In fact, the Form 497 may be required to be filed *before* the Form 410 is required if the committee qualifies within the 90 days before the election or on the date of the election. During this period, a committee must file a Form 497 within 24 hours each time it receives contributions that total \$1,000 or more in the aggregate from a single source.
9. Q. What are the requirements for naming a candidate's committee or a committee primarily formed to support or oppose a ballot measure?
  - A. For a candidate's campaign committee, the name must include the candidate's last name, office sought, and year of the election. For example, "Wallace for Supervisor 2022" or "Re-Elect Rosa in 2022 for Water Board" would meet the naming requirements.  
For a primarily formed ballot measure committee, the name must include:
    - The measure's designation (e.g., Proposition 124; Measure BB);
    - The committee's position (support or oppose) on the measure;
    - If sponsored, the name(s) of the sponsor(s) (e.g., "sponsored by the Auto Dealers Association");For a comprehensive list of all committee naming requirements, see the Form 410 instructions.
10. Q. May a committee use an electronic recordkeeping system or are records required to be kept on paper?
  - A. Electronic records are permitted so long as all of the required information is collected and recorded in a timely and uniform manner that ensures the information is accurate and reliable. Committees are responsible for ensuring that electronic records can be read and/or printed for auditing purposes during the required retention period – four years from the date the campaign statement was filed.

11. Q. Is a committee required to have a tax ID number?

A. The FPPC does not require a tax ID number; however, some banks may require one in order to open a campaign bank account. A tax ID number may be requested through the Internal Revenue Service website, [www.irs.gov](http://www.irs.gov).

**Ballot Measure Committee Questions**

12. Q. A group has raised \$2,000 to circulate petitions for a ballot measure. When does the group trigger reporting obligations?

A. Reporting obligations begin when proponents start gathering signatures (initiative) or when a legislative body acts to place the proposal on the ballot (referendum). Certain contributions received and expenditures made are required to be disclosed even if they were received or made before the proposal became a measure. (See Campaign Disclosure Manual 3 for details.)

13. Q. May a candidate control a ballot measure committee? If so, is the candidate required to file a Form 501 (Candidate Intention Statement)?

A. Yes, a candidate may control a ballot measure committee so long as the committee's funds are not used to support the candidate's election or to support or oppose other candidates. The candidate's last name must be included in the committee name and the Form 410 requires specified information to be disclosed related to the measure or measures for which the committee is formed. A Form 501 is not required.

14. Q. Are there any special reporting requirements for ballot measure committees controlled by a candidate?

A. Ballot measure committees controlled by a **state** officeholder (e.g., Governor, legislator) or a candidate for elective **state** office have additional disclosure requirements when reporting expenditures. For each expenditure of \$100 or more, the committee must identify the measure or potential measure associated with the expenditure. For example, a payment to a campaign consultant for research or polling on a specific measure in a local jurisdiction could state: Research/polling for Measure B, City of Sacramento. A committee's expenditures for operating costs, administrative overhead, fundraising, travel, compliance costs and attorney fees do not require the itemization if the payment cannot be attributed to a specific measure or potential measure.

15. Q. During the 90 days before an election, a local primarily formed ballot measure committee for Measure A made a \$10,000 contribution to another primarily formed ballot measure committee for Measure A. Does this contribution trigger the filing of a 24-Hour Contribution Report (Form 497)?

A. Yes, both committees are required to file a Form 497, even if they are both formed to support the same ballot measure.

16. Q. During the 90 days before an election, supporters of a ballot measure, in coordination with the primarily formed ballot measure committee, will be paying for phone banks. The payments will be considered nonmonetary contributions to the primarily formed ballot measure committee. Rather than file several reports, may the committee file one Form 497 estimating the value of all nonmonetary contributions anticipated to be received from this source during the 90-day period before the election and on the date of the election?

A. Yes. The committee may make a good faith estimate of the value that will be contributed during the period. The Form 497 must be filed within 48 hours of receiving the initial \$1,000 in nonmonetary contributions. If the actual value differs from the estimated amount by 20 percent or more, an amendment must be filed within 24 hours of determining the correct amount.

17. Q. If a non-profit organization makes a contribution to a primarily formed ballot measure committee, what are the campaign reporting requirements for the non-profit organization?

A. Depending on the amount of the contribution and several other factors, the organization may be required to register as a recipient committee and file campaign reports disclosing its donors or the organization may instead qualify as a major donor committee and be required to file the Form 461. To determine the applicable reporting requirements, see the detailed information in the [Multipurpose Organizations Reporting Political Spending fact sheet](#).

### **Fundraising Questions**

18. Q. If a committee receives two monetary contributions of \$99 from one contributor, must the contributor be itemized?

A. Yes. When a person's contributions, including monetary, nonmonetary, and loans, aggregate to \$100 or more in a calendar year, the contributor must be itemized on all applicable schedules of the Form 460.

19. Q. A committee is hosting a dinner fundraiser. The committee is charging \$100 per person, but the actual cost of the event to the committee will be \$25 per person. When a person purchases a ticket to attend, what amount is considered as the contribution received?

A. The contribution received is \$100. The entire cost of the ticket for the fundraiser is the amount of the contribution – the actual costs to the committee are not subtracted from the ticket price.

20. Q. A committee is going to charge \$50 per person at their next fundraiser. May an attendee pay with a \$100 bill?

A. No. Even if change is immediately provided, a committee may not accept \$100 or more in cash from a single source. The payment must be made by personal check, debit card, or credit card.

21. Q. Is volunteer work provided by some people considered a nonmonetary contribution because of the volunteer's profession, such as free legal advice provided by a lawyer or bookkeeping done by a CPA?

A. No. Volunteer personal services, regardless of the profession of the individual, are not reportable, so long as the individual providing the services is not paid by a third party.

22. Q. An individual is hosting a fundraising event in their home for a friend who is running for city council. They will spend \$425 to provide tea, coffee, wine, cheese, and fruit. Is the amount they pay for the event considered a nonmonetary contribution to the candidate?

A. No. So long as the individual hosting does not spend more than \$500, the event meets the home/office fundraiser exception. **Note:** The home/office fundraiser exception does not apply to a state lobbyist (or a cohabitant of a lobbyist) or a lobbying firm.

23. Q. May a private service, such as PayPal, be used to collect contributions electronically?

A. Yes, so long as for each contribution of \$100 or more, (a) the service is able to provide the name of the contributor, and (b) the committee reports all the information needed to meet the statutory recordkeeping requirements, including the name, address, occupation, and employer of individual contributors of \$100 or more. Even if the company deducts a fee from the amount of the contribution, the entire amount of the contribution must be disclosed. The fees charged by the private service are reported as expenditures.

24. Q. May a committee accept a contribution in the form of bitcoin, a type of digital currency?

A. Yes. Effective September 21, 2022, committees may solicit and accept contributions of cryptocurrency, or virtual currency, in any amount not exceeding any applicable contribution limit. Please note that committees cannot receive cryptocurrency contributions directly. Committees may receive these types of contributions through a payment processor selected to act as a vendor on behalf of the committee. Please see our [Cryptocurrency Contributions Fact Sheet](#) for more information on accepting these types of contributions.

25. Q. If a committee receives a contribution of \$100 from an individual, but the individual did not provide the required occupation and employer information, what should the committee do?

A. The individual contributor should be contacted to obtain the occupation and employer information. If the committee is required to report the contribution before the information is received, the committee should indicate on its campaign statement that the information has been requested and the statement will be amended when the information is received. However, if an individual's occupation and employer information is not received within 60 days of receiving the contribution, the contribution must be returned.

26. Q. A business donated the use of an employee to work on two ballot measure campaigns during the month before the election. The employee spent a total of seven percent of their compensated time working on one measure and seven percent of their compensated time on the other measure. Since more than 10 percent of the employee's compensated time was not spent on a single campaign, is their compensated time required to be reported as a nonmonetary contribution to the ballot measure committees from their employer?

A. Yes. If an employee spends more than 10 percent of their compensated time working on campaign activity (one or multiple campaigns) in a calendar month, a nonmonetary contribution from the business must be reported. In this situation, each ballot measure committee must report a nonmonetary contribution in the amount of seven percent of the employee's compensated time. The value of the nonmonetary contribution is based on the employee's gross salary; standard benefits (i.e., retirement and health care) do not need to be counted.

27. Q. If a committee receives a large contribution from an individual or entity, are there any special noticing requirements?

A. Yes. Generally, if a committee receives a contribution of \$5,000 or more from an individual or entity, the committee must notify the contributor in writing *within two weeks* that they may need to file a major donor report. In the 90 days before an election, if a contribution of \$10,000 or more is received, the notification must be sent *within one week*. Language for the notice is found in the applicable campaign disclosure manual. An individual or entity qualifies as a major donor if contributions totaling \$10,000 or more are made in a calendar year to California (state and local) candidates and committees.

### **Expenditure Questions**

28. Q. How does a committee report printing expenses of \$100 or more paid for with the committee's credit card?

A. The name and address of the credit card company and the amount paid must be listed on Schedule E or F of the Form 460, and the printing vendor's name and address must be listed underneath with the amount paid to that vendor. Another example of "subvendor" reporting is when a campaign consultant purchases television advertisements, the names of the stations that air the advertisements must be listed. The campaign disclosure manuals contain examples of how to report subvendors on the Form 460.

29. Q. Is it permissible for a committee to have an agreement with an independent contractor (e.g., committee fundraiser) to pay additional money if fundraising goals are surpassed?

A. Yes, under the Act, a contingency agreement may be made, such as a committee paying a bonus to a contractor if fundraising goals are met or a committee not paying a contractor unless a particular outcome is achieved. The arrangement should be made as part of a written contract. (Note that the Act strictly prohibits contingency fees to a lobbyist for the outcome of legislation or to a placement agent for securing an investment from a state retirement board.)

30. Q. Is it permissible to purchase gifts using campaign funds?

A. Campaign funds may be used to purchase a gift only if the payment is *directly related* to a political, legislative, or governmental purpose. Detailed information on the permissible use of campaign funds may be found in the [campaign disclosure manuals](#). In addition, there are special reporting rules for candidate controlled committees when reporting expenditures for gifts, meals, and travel. (See Question #57 below.)

### **Communications Questions**

31. Q. What are the disclosure requirements for a mass mailing sent by a candidate?

A. When a candidate sends a mass mailing (more than 200 pieces of the same or similar mail in a calendar month), the words "paid for by" and the name and address of the candidate's committee must appear on the outside of the mailing in no less than six-point type and in a color that contrasts with the background. If two or more candidate controlled committees pay for the mailer, the name and address of at least one of the committees must be shown on the outside and the names and addresses of all committees must appear on at least one insert. The committee ID number is not required

to be included, but the FPPC recommends that committees include the committee ID number on all public campaign materials.

32. Q. If a committee has more than one address, may any of the addresses be used on mass mailings?

A. Any address that is on the committee's Statement of Organization (Form 410) on file with the Secretary of State's office may be used.

33. Q. Are emails sent by a candidate's committee required to include an advertisement disclaimer statement?

A. Yes. Mass mailings, including emails, must include a "paid for by" disclaimer (e.g., "Paid for by Jones for Supervisor 2022").

34. Q. How does a committee report payments made to a person to provide favorable or unfavorable content on an Internet site about a candidate or ballot measure?

A. For each payment of \$100 or more, use the code "WEB" and report the amount of the payment, the payee, the name of the individual providing content, and the website name or URL on which the communication is published in the first instance.

35. Q. Does a candidate or committee incur reporting obligations if an unpaid blogger or other individual endorses their candidacy in their Internet communications?

A. No. Uncompensated Internet activity, including blogging, social networking, sending or forwarding an email, or providing a link to a website, does not trigger a reporting obligation.

36. Q. Does the FPPC have a summary of the requirements for disclaimers on advertisements?

A. Yes, a summary of the requirements, as well as charts for each type of committee are available [on the FPPC's website](#).

#### **24-Hour Contribution (Form 497) Report Questions**

37. Q. If a contribution of \$1,000 or more is made to one of a candidate's campaign committees (e.g., legal defense, ballot measure, past election), but not to the committee that is formed for the election triggering the 90-day reporting, are the candidate and/or the donor required to file a Form 497?

A. Yes. When a candidate is in a 90-day reporting period, each contribution of \$1,000 or more to any of their committees requires the Form 497 to be filed by both the candidate and the donor.

38. Q. During the 90-day reporting period, must a candidate file a Form 497 if a contribution of \$500 is received by one of the candidate's campaign committees (e.g., legal defense, ballot measure, past election) and another contribution of \$500 from the same donor is received by the committee that is formed for the election triggering 90-day reporting?

A. No. Because a single committee did not receive \$1,000 or more, the candidate is not required to file a Form 497. The donor is also not required to file a Form 497 as the donor did not make a contribution of \$1,000 or more to a single committee.

39. Q. A candidate received \$500 from a donor for the special primary election a few days before the election, and another \$500 from the same donor a few days after the primary election when the candidate moved to the special general election. Both contributions were received during the 90 days before the general election. Is a Form 497 required to be filed by the donor and/or the candidate?

A. No. Because \$1,000 or more was not received in connection with one election, the Form 497 is not required to be filed.

40. Q. Must a candidate file a Form 497 if, during the 90 days before the election or on the date of the election, they make a contribution of \$1,000 or more from personal funds to their campaign?

A. Yes. The candidate's personal funds are contributions and subject to reporting in the same manner as other contributions received.

41. Q. What are the 24-Hour Contribution Report (Form 497) requirements for contributions received by a political party committee?

A. A political party must report each contribution of \$1,000 or more received within 90 days of **any** state election or on the date of a state election (including a special election). If the contributor is a committee, the contributor must also file the Form 497 within 24 hours.

### **Enforcement Question**

42. Q. If a campaign statement is filed late, what are the potential consequences?

A. The filing officer with whom the statement is required to be filed may assess a fine of up to \$10 for each day that the statement is late (or up to \$20 per day for a statement and a copy). In addition, filing officers are required by law to refer non-filers to an enforcement authority. If a matter is referred to the FPPC's Enforcement Division for failure to file, the fine may increase up to a maximum of \$5,000 per violation. In 2017, 149 committees were fined by the FPPC for failing to timely file campaign statements.

### **Candidate Questions**

43. Q. When may a candidate begin to solicit and raise funds for an election?

A. Upon filing a Candidate Intention Statement (Form 501), a candidate may begin to solicit and receive contributions. The Form 501 is considered filed when it is personally delivered or placed in the mail to the filing officer.

44. Q. Is a candidate required to file a Form 501 when running for reelection to the same office?

A. Yes. A separate Form 501 is required for each election, including reelection to the same office. However, a new Form 501 is not required for the general election or special general election if the candidate filed a Form 501 for the connected primary or special primary election for the same office sought.

45. Q. If a candidate does not intend to raise any funds from others and will be spending personal funds only for the filing fee and ballot statement fee, is the candidate required to file a Form 501 and open a campaign bank account?

- A. No, the candidate is not required to file a Form 501 or open a bank account; only the Form 470 (Campaign Statement – Short Form) is required.
- 46. Q. If a candidate does not intend to raise funds from others, but will be spending \$2,000 or more of their personal funds on their campaign (in addition to the filing fees and ballot statement fees), is the candidate required to open a bank account?
  - A. Yes. Even if a candidate does not raise funds from others, if they spend \$2,000 or more on the campaign (not counting personal funds spent on filing fees and ballot statement fees), they qualify as a committee and must open a campaign bank account. Campaign funds may not be commingled with personal funds.
- 47. Q. What are the rules related to a candidate spending personal funds on their own campaign?
  - A. Except for payments for the filing fee, ballot statement fee, and \$50 Secretary of State annual committee fee, a candidate must deposit personal funds into the campaign bank account before making campaign expenditures, even if the candidate does not want to be reimbursed. Personal funds may be reported as loans or monetary contributions. Personal funds may not be commingled with campaign funds and campaign expenditures may not be made from a personal account.
- 48. Q. Prior to learning that it was not permitted, a candidate starting up their campaign used personal funds to pay for some campaign expenses. How is this reported on the Form 460?
  - A. So that the activity is properly disclosed, the amount of personal funds used should be reported on Schedule A as a contribution and the expenditure is reported on Schedule E. If the candidate has not yet been reimbursed by the committee, the amount may be reported on Schedule F as an accrued expense. Non-disclosure of the payments is a violation of the Act. All future payments must be made from the campaign bank account; personal funds must be deposited into the account before making expenditures.
- 49. Q. May a campaign worker use personal funds to make campaign expenditures and be reimbursed by the committee?
  - A. Yes. Anyone other than the candidate may use personal funds to make campaign expenditures, such as purchasing printing, and be reimbursed after providing a receipt or invoice to the campaign. However, if the campaign does not reimburse the individual who made the expenditure within 45 days, the committee must report the amount expended as a nonmonetary contribution received.
- 50. Q. What are the contribution limits for local elections?
  - A. Pursuant to Assembly Bill 571 (Stats. 2019, Ch. 556, AB 571 Mullin), effective January 1, 2021 a state campaign contribution limit will by default apply to city and county candidates when the city or county has not already enacted a contribution limit on such candidates. The FPPC's website posts contribution limit charts. However, many local jurisdictions have adopted campaign finance ordinances that include contribution limits. Contact the city clerk or county elections office to determine if there are local contribution limits. The FPPC's website also posts local campaign ordinances.

51. Q. If a candidate occasionally uses their own personal vehicle to attend campaign events and meet with voters, is the use of the vehicle reportable even if the candidate does not want to be reimbursed for the mileage?

A. Incidental use of a candidate's personal vehicle for campaign purposes is not considered a contribution or expenditure and is not reportable. However, if the use of the vehicle is directly related to a political, legislative or governmental purpose, and the candidate would like to be reimbursed by the committee, the reimbursement must be made at the rate approved by the Internal Revenue Service pursuant to Section 162 of the Internal Revenue Code.

52. Q. If a candidate makes long-distance calls using their home phone to request support from organizations statewide, may committee funds be used to pay the phone bill?

A. Committee funds may be used for the campaign portion of the bill; however, the non-campaign portion must be paid with personal funds.

53. Q. If a candidate is defeated in a local election, may the leftover funds be used to run again in the next local election?

A. Yes, if specified requirements are met. An unsuccessful candidate for a city or county office in a jurisdiction that has enacted a local contribution limit who plans to run for the **same office** in a future election must file a new Form 501 and an amended Form 410 **before** the funds become surplus. Leftover funds become surplus 90 days after an official leaves office (incumbents) or 90 days after the end of the post-election reporting period, whichever is later. The end of the post-election reporting is June 30 for elections held between January 1 and June 30, and December 31 for elections held between July 1 and December 31. (Note: Candidates for a city or county office in a jurisdiction that has enacted a local contribution limit should check with the local jurisdiction to determine if there is a local ordinance that does not allow a candidate to use the same committee for a future election.) A city or county candidate in a jurisdiction that *has not* enacted a local contribution limit who plans to run for the same office must file a new Form 501 and a new Form 410 as well as open a new bank account and transfer the funds to a new committee **before** the funds become surplus.

An unsuccessful candidate who plans to run for a *different office* must file a new Form 501, a new Form 410, and open a new campaign bank account and transfer the funds **before** the funds become surplus as described above.

54. Q. If a candidate receives a refund for a filing fee after their committee has already been terminated, must the committee and bank account be reopened in order to accept the refund?

A. No. Candidates are allowed to accept refunds from a governmental entity without reopening the committee and campaign bank account.

55. Q. If a candidate controls a ballot measure committee, must the ballot measure committee file a preelection statement when the candidate's committee is required to?

A. Yes. If a candidate has multiple controlled committees, each of the committees are required to file on the dates the candidate is required to file preelection statements in connection with their election to office. (See Regulation 18405.)

56. Q. May a law enforcement officer, who is running for city council, wear their uniform at campaign events or when appearing in political advertisements for their campaign?

A. The Political Reform Act does not contain restrictions related to a candidate wearing a law enforcement uniform; however, other laws may apply. The candidate should contact the District Attorney or City Attorney.

57. Q. What are the special reporting requirements for expenditures made by a candidate controlled committee when purchasing gifts, travel, and meals?

A. Itemized expenditures made by a candidate controlled committee for gifts, meals, or travel, must be further explained in the “Description of Payment” column, whether or not an expenditure code is used, as described below.

**Gifts:** Briefly describe the political, legislative, or governmental purpose of the expenditure, and provide the date of the gift and a description of the gift. If the gift was made to an individual recipient, the name of the recipient must be included. If a gift was made to a group of recipients, the name of each recipient who received a benefit of \$50 or more is required. When the recipient of a gift with a value of \$50 or more is not known at the time the payment is required to be reported, the committee must report that the gift was for an “undetermined recipient.” Once the gift has been given to the recipient, the campaign statement must be amended within 45 calendar days to disclose the name of the recipient.

**Meals:** Briefly describe the political, legislative, or governmental purpose of the expenditure, and provide the date of the meal, the number of individuals who were present at the meal, and whether the candidate, a member of their household, or an individual with authority to approve expenditures of campaign funds was present at the meal. It is not necessary to include the names of individual attendees on the report. However, the names of the attendees must be maintained in the committee’s records. For meals reported as an itemized expenditure for travel, the reporting rules below apply.

**Travel Payments (including lodging and meals):** Briefly describe the political, legislative, or governmental purpose of the expenditure, and provide the date or dates of the travel, the destination, and the goods or services purchased. The description must also include the number of individuals for whom the payment was made and whether the trip included the candidate, a member of their household, or an individual with the authority to approve expenditures of campaign funds. The names of individuals who traveled are not required to be disclosed on the report. However, the names of the travelers must be maintained in the committee’s records.

# Fair Political Practices Commission

## Filing Schedule for Candidates and their Controlled Committees for Local Office Listed on the November 5, 2024 Ballot

Deadline	Period	Form	Notes
<b>Jul 31, 2024 Semi-Annual</b>	<b>* – 6/30/24</b>	<a href="#">460</a>	<ul style="list-style-type: none"> <li>All committees must file this statement.</li> </ul>
<b>Within 24 Hours Election Cycle Reports</b>	<b>8/7/24 – 11/5/24</b>	<a href="#">497</a>	<ul style="list-style-type: none"> <li>File if a contribution of \$1,000 or more in the aggregate is received from a single source.</li> <li>File if a contribution of \$1,000 or more in the aggregate is made to or in connection with <i>another</i> candidate or measure listed on the November 5, 2024, ballot.</li> <li>The recipient of a non-monetary contribution of \$1,000 or more in the aggregate must file a Form 497 within 48 hours from the time the contribution is received.</li> <li>File by personal delivery, e-mail, guaranteed overnight service, or fax. The committee may also file online, if available.</li> </ul>
<b>Sep 26, 2024 1<sup>st</sup> Pre-Election</b>	<b>7/1/24 – 9/21/24</b>	<a href="#">460</a> or <a href="#">470</a>	<ul style="list-style-type: none"> <li>Each candidate listed on the ballot must file Form 460 or Form 470 (see below).</li> </ul>
<b>Oct 24, 2024 2<sup>nd</sup> Pre-Election</b>	<b>9/22/24 – 10/19/24</b>	<a href="#">460</a>	<ul style="list-style-type: none"> <li>All committees must file this statement.</li> <li>File by personal delivery or guaranteed overnight service. The committee may also file online, if available.</li> </ul>
<b>Jan 31, 2025 Semi-Annual</b>	<b>10/20/24 – 12/31/24</b>	<a href="#">460</a>	<ul style="list-style-type: none"> <li>All committees must file Form 460 unless the committee filed termination Forms 410 and 460 before December 31, 2024.</li> </ul>

### Additional Notes:

- \*Period Covered:** The period covered by any statement begins on the day after the closing date of the last statement filed, or January 1, if no previous statement has been filed.
- Local Ordinance:** Always check on whether additional local rules apply.
- Deadline Extensions:** Deadlines are extended when they fall on a Saturday, Sunday, or an official state holiday. This extension does not apply to a 24-Hour/10-Day Contribution Report (Form 497) that is due the weekend before the election, and this extension never applies to any 24-Hour/10-Day Independent Expenditure Report (Form 496). Such reports must be filed within 24 hours, regardless of the day of the week.
- Method of Delivery:** All paper filings may be filed by first-class mail unless otherwise noted. A paper copy of a statement may not be required if a local agency requires online filing pursuant to a local ordinance.
- Form 501:** All candidates must file Form 501 (Candidate Intention Statement) before soliciting/receiving contributions.

## Fair Political Practices Commission

- **Form 460:** Candidates who have raised/spent \$2,000 or more file Form 460. The Form 410 (Statement of Organization) must also be filed once \$2,000 or more has been raised/spent.
- **Form 470:** Candidates who do not raise or spend \$2,000 or more (or anticipate raising or spending \$2,000 or more) in 2024 and do not have an open committee may file Form 470 on or before September 26, 2024. If the candidate raises or spends \$2,000 or more, later during the calendar year, a Form 470 Supplement and a Form 410 must be filed.
- **Independent Expenditures:** Committees making independent expenditures totaling \$1,000 or more to support or oppose other candidates or ballot measures also file:
  - **Form 496:** This form is due within 24 hours if made in the 90-day, 24-hour reporting period of the candidate's or measure's election. Refer to the applicable filing schedule. Form 496 is filed with the filing officer in the jurisdiction of the affected candidate or measure.
  - **Form 462:** This verification form must be e-mailed to the FPPC within 10 days..
- **After the Election:** Reporting requirements will depend on whether the candidate is successful and whether a campaign committee is open. See [Campaign Disclosure Manual 2](#) for additional information.
- **Public Documents:** All statements and reports are public documents.
- **Resources:** Campaign manuals and other instructional materials are available on the [Campaign Rules](#) page. Or, visit [www.fppc.ca.gov](http://www.fppc.ca.gov) > Learn > Campaign Rules.

## **TAB 8—POLITICAL REFORM ACT REQUIREMENTS**

## Who Files:

A candidate for state or local office must file this form for each election for a specific office. Exception: A new Form 501 is not required for the general election or special general election if the candidate filed a Form 501 for the connected primary or special primary election for the same office sought. Candidates for county central committee that do not raise or spend \$2,000 or more in a calendar year are not required to file a Form 501.

## When to File:

File the Form 501 before you solicit or receive any contributions or before you make expenditures from personal funds on behalf of your candidacy. This form is considered filed the date it is postmarked or hand delivered. Ensure campaign deadlines are met. Go to [www.fppc.ca.gov](http://www.fppc.ca.gov) for most campaign disclosure filing schedules or check with your local filing officer.

## Where to File:

### State Candidates (including Judges):

Secretary of State Political Reform Division  
1500 11th Street, Room 495  
Sacramento, CA 95814  
Phone (916) 653-6224

For filing with a verified digital signature, please access the Secretary of State's website for more information: [www.sos.ca.gov](http://www.sos.ca.gov)

### Local Candidates:

Generally your county election office or city clerk. Electronic filing may be required.

### Bank Account:

A separate campaign bank account must be established for each election. A bank account is not required if a candidate will not receive any contributions and will make personal expenditures of less than \$2,000 in a calendar year. A candidate who

receives any contributions, regardless of personal expenditure level, must open a bank account. The filing and statement of qualification fees are not included in calculating the \$2,000.

## How to Complete:

All candidates: Complete Parts 1 and 3.

Candidates for elective state office: Complete Parts 1, 2, and 3.

Exception: Candidates for an election to the California Public Employees' Retirement Board, the State Teachers' Retirement Board, judges, and judicial candidates do not complete Part 2.

### Part 1. Candidate Information

- Enter your name and street address.
- Enter the title of the office sought, agency name, and district number if any (e.g., City Council Member, City of Smalltown, Dist. 5).
- Enter your political party preference if seeking a partisan office. For a list of qualified political parties, go to: [www.sos.ca.gov/elections/political-parties/qualified-political-parties/](http://www.sos.ca.gov/elections/political-parties/qualified-political-parties/).
- Check the appropriate box regarding the office's jurisdiction.
- Enter the year of election.

### Part 2. Voluntary Expenditure Ceiling

This section applies to certain candidates for elective state office, including State Senate and Assembly and statewide offices.

The voluntary expenditure ceiling applicable to your office is set forth in FPPC Regulation 18545. You must state whether you accept or reject the expenditure ceiling. Candidates who accept the voluntary expenditure limit will be designated in either the state voter information guide (statewide candidates) or the county voter information guide (Senate and Assembly

candidates) and may purchase space for a 250-word statement there.

You may amend the Form 501 to change your acceptance or rejection of the voluntary expenditure ceiling only under the following circumstances:

- Between the date of filing an initial Form 501 for an election and the deadline for filing nomination papers for that election, you may amend your statement of acceptance or rejection of the voluntary expenditure ceiling no more than two times as long as the limit has not been exceeded.
- If you reject the voluntary expenditure ceiling in the primary or special election but do not exceed the ceiling during that election, you may amend the Form 501 to accept the expenditure ceiling for the general or special runoff election and receive all of the benefits accompanying the acceptance of the expenditure ceiling. The amended Form 501 must be filed within 14 days following the primary or special election.

### Personal Funds Notification:

You must disclose, if applicable, the date you contribute personal funds to your own campaign that exceed the expenditure ceiling. File an amended Form 501 within 24 hours by guaranteed overnight delivery, personal delivery, or, if applicable, by electronic means.

### Part 3. Verification

The verification is signed under penalty of perjury. This form was prepared by the Fair Political Practices Commission (FPPC). For detailed information on campaign reporting requirements, see the FPPC Campaign Disclosure Manual for your type of committee.

# Candidate Intention Statement

Date Stamp

CALIFORNIA  
FORM

501

Check One:      Initial      Amendment  
(Explain)

---

For Official Use Only

## 1. Candidate Information:

NAME OF CANDIDATE (Last, First Middle Initial)

DAYTIME TELEPHONE NUMBER

FAX NUMBER (optional)

EMAIL (optional)

(       )

(       )

STREET ADDRESS

CITY

STATE

ZIP CODE

OFFICE SOUGHT (POSITION TITLE)

AGENCY NAME

DISTRICT NUMBER, if applicable.

NON-PARTISAN OFFICE

OFFICE JURISDICTION

PARTY PREFERENCE:  
(Check one box, if applicable.)

State (Complete Part 2.)

PRIMARY / GENERAL

City

County

Multi-County:

(Name of Multi-County Jurisdiction)

(Year of Election)

SPECIAL / RUNOFF

## 2. State Candidate Expenditure Limit Statement:

*(CalPERS and CalSTRS candidates, judges, judicial candidates, and candidates for local offices do not complete Part 2.)*

(Check one box)

**I accept** the voluntary expenditure ceiling for the election stated above.**I do not accept** the voluntary expenditure ceiling for the election stated above.

Amendment:

I did not exceed the expenditure ceiling in the primary or special election held on \_\_\_\_\_ and I accept the voluntary expenditure ceiling for the general or special run-off election.

(Mark if applicable)

On \_\_\_\_\_ I contributed personal funds in excess of the expenditure ceiling for the election stated above.

## 3. Verification:

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on \_\_\_\_\_  
(month, day, year)Signature \_\_\_\_\_  
(Candidate)

## Who Files

**Recipient Committees:** Persons (including an officeholder or candidate), organizations, groups, or other entities that raise contributions from others totaling \$2,000 or more in a calendar year to spend on California elections. They must register with the Secretary of State and report all receipts and expenditures. "Contributions" include monetary payments, loans and non-monetary goods and services received or made for a political purpose.

**Candidates:** The personal funds of a candidate or officeholder used to seek or hold elective office are contributions and count toward qualifying as a recipient committee. However, personal funds used to pay a candidate filing fee or a fee for the statement of qualifications to appear in the ballot pamphlet do not count toward the \$2,000 threshold.

**Multipurpose Organizations:** A nonprofit organization, federal or out-of-state PAC, or other multipurpose organization that makes contributions or expenditures in California elections may also be required to register as a recipient committee with the Secretary of State. See the Fact Sheet on Multipurpose Organizations Reporting Political Spending and the Supplemental Form 410 Instructions.

## When to File

File this form within 10 days of receiving \$2,000 in contributions. Include a \$50 payment made payable to the Secretary of State. Thereafter, the \$50 fee is due annually no later than January 15. In addition to the \$50 fee, a penalty of \$150 may be assessed if payment is late.

For early submissions, mark the "not yet qualified" box. The \$50 fee is requested at this time but is not legally required until the committee qualification threshold has been met.

## Where to File

**All Committees:** Form 410 with original ink signature(s)

Secretary of State  
Political Reform Division  
1500 11th Street, Rm 495  
Sacramento, CA 95814

Form 410 with digital signature(s)  
Secretary of State  
Via email at: [digitalfiling@sos.ca.gov](mailto:digitalfiling@sos.ca.gov)  
As a PDF attachment  
Must contain a verified digital signature  
on the Signature Line.

Please access the Secretary of State's website for detailed instructions on how to submit the Form 410 with a digital signature.

**County & City Committees:**

Also file a copy with the local filing officer who will receive the original campaign statements.

Read instructions carefully as a Form 410 will be rejected if all applicable sections are not completed.

## Committee ID Number

The committee's ID number will be posted at [cal-access.sos.ca.gov](http://cal-access.sos.ca.gov). To receive an official, stamped copy of your approved Form 410, send a request, the original form, two copies of the form, and a self-addressed, stamped envelope, to the Secretary of State.

## Amendments

When information contained in the committee's Statement of Organization changes, file an amendment within 10 days of the change with the Secretary of State and local filing officer (if applicable). During the period 16 days before an election, file an amendment within 24 hours as described below.

## 24-Hour Reporting

In addition to the 10-day rule to file an original.

### Form 410:

- A recipient committee that qualifies during the 16 days prior to an election in which it must file pre-election statements must file a Form 410 within 24 hours of qualification with the filing officer who will receive the committee's original disclosure statements.
- A recipient committee that qualifies during the 90 days prior to an election or on the date of the election in which the committee makes independent expenditures of \$1,000 or more to support or oppose a candidate in that election must file the Form 410 within 24 hours of qualification with the filing officer who will receive the committee's original disclosure statements and with the filing officer(s) for the candidate(s) supported or opposed by the independent expenditure.
- If, during the 16 days prior to an election when a committee is required to file pre-election statements, a change occurs in the name of the committee, the treasurer or other principal officers, or the controlling candidate, an amendment must be filed with the filing officer receiving the committee's original campaign statements within 24 hours of the change.

These filings must be made by fax, email with a verified digital signature, guaranteed overnight delivery, personal delivery or online (if online filing is available).

This form was prepared by the Fair Political Practices Commission (FPPC). For detailed information on campaign reporting requirements, see the FPPC Campaign Disclosure Manual for your type of committee.

**Statement of Organization  
Recipient Committee**

Date Stamp

**CALIFORNIA  
FORM**

**410**

For Official Use Only

<b>Statement Type</b>	<b>Initial</b> Not yet qualified or Date qualification threshold met	<b>Amendment</b> Date qualification threshold met	<b>Termination – See Part 5</b> Date of termination
	_____/_____/_____	_____/_____/_____	_____/_____/_____

<b>1. Committee Information</b>		<b>I.D. Number (if applicable)</b>		<b>2. Treasurer and Other Principal Officers</b>			
NAME OF COMMITTEE		NAME OF TREASURER					
STREET ADDRESS (NO P.O. BOX)		STREET ADDRESS (NO P.O. BOX)		CITY	STATE	ZIP CODE	
CITY STATE ZIP CODE AREA CODE/PHONE		EMAIL ADDRESS OF TREASURER (REQUIRED) AREA CODE/PHONE					
FULL MAILING ADDRESS (IF DIFFERENT)		NAME OF ASSISTANT TREASURER, IF ANY					
E-MAIL ADDRESS OF COMMITTEE (REQUIRED) / FAX (OPTIONAL)		STREET ADDRESS (NO P.O. BOX) CITY STATE ZIP CODE					
COUNTY OF DOMICILE JURISDICTION WHERE COMMITTEE IS ACTIVE		EMAIL ADDRESS OF ASSISTANT TREASURER (REQUIRED) AREA CODE/PHONE					
		NAME OF PRINCIPAL OFFICER(S)					
		STREET ADDRESS (NO P.O. BOX) CITY STATE ZIP CODE					
		EMAIL ADDRESS OF PRINCIPAL OFFICER(S) (REQUIRED) AREA CODE/PHONE					
<i>Attach additional information on appropriately labeled continuation sheets.</i>							

**3. Verification**

I have used all reasonable diligence in preparing this statement and to the best of my knowledge the information contained herein is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on	_____ DATE	By	_____ SIGNATURE OF TREASURER OR ASSISTANT TREASURER
Executed on	_____ DATE	By	_____ SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROPOSER
Executed on	_____ DATE	By	_____ SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROPOSER
Executed on	_____ DATE	By	_____ SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROPOSER

## Statement Type:

### Initial

Mark the “Initial” box and enter the date the committee qualification threshold was met.

If the committee has not met the qualification threshold, mark the “Initial” and “Not Yet Qualified” boxes.

### Qualification Threshold

The “date qualification threshold met” is the date the committee received contributions totaling \$2,000 or more during a calendar year.

### Amendment

If any of the information reported on an initial statement of organization changes:

- Mark the amendment box;
- Include the committee’s ID number and name;
- Provide the changed information; and
- Complete the verification.

**Candidates:** Under certain circumstances, a candidate for local office may amend the Form 410 to indicate that the candidate is seeking re-election to the same office. A candidate for state office must open a separate committee for each term of office and may not amend the Form 410 to redesignate an election committee.

### Termination

List the committee’s name, identification number and indicate the date of termination, including completing the verification.

### 1. Committee Information:

Provide the full name of the committee. A committee may use only one name.

The committee’s street address, email address, and telephone number must be reported. A post office box is not acceptable. The committee’s mailing address must also be reported if it is different from the street address. A post office box is acceptable for the mailing address. A committee’s “domicile” is its address as listed on the Form 410. Los Angeles is the county of domicile for committees located outside California.

**Identify the jurisdiction where the committee is active.**  
For example, a city committee lists the name of the city.

### Committee Name Requirements

The following committee name rules apply to the Form 410, the committee’s campaign statements and to any other references to the committee required by law. See the instructions for Part 4 for committee definitions.

**Candidate Controlled Committees:** Any committee that is controlled by a state or local candidate or officeholder must include the last name of the candidate in the name of the committee. In addition, the following rules apply:

- An **election committee** controlled by one or more state or local candidates must also include the office the candidate(s) is seeking and the year of the election (e.g., Friends of Smith for Assembly 20XX, Jones for Council 20XX).
- An **officeholder committee** set up by a state officeholder must also include the office held, the year the officeholder was elected to the current term of office, and the words “Officeholder Account,” as part of the committee name (e.g., Anderson Assembly 20XX Officeholder Account).
- A **legal defense fund** set up by a state or local candidate or officeholder must also include the words “Legal Defense Fund” as part of the committee name (e.g., Senator Smith Legal Defense Fund).
- A **ballot measure committee** controlled by one or more state candidates must also state that it is a ballot measure committee (e.g., Senator Lee’s Ballot Measure Committee) prior to the designation of the ballot measure number. See additional requirements for primarily formed committees.

**Sponsored Committees:** A sponsored committee (including most political action committees) must include the full name of its sponsor in the name of the committee. If the committee has more than one sponsor and the sponsors are members of an industry or other identifiable group, include a term identifying that industry or group.

### Primarily Formed Committees

**Ballot Measures:** The name of each committee primarily formed to support or oppose a ballot measure must include:

- A statement identifying the ballot measure(s) number or letter and whether it supports or opposes the measure(s) (e.g., Committee For Proposition/Measure \_\_\_ or Committee Against Proposition/Measure \_\_\_).

**Recalls:** Each committee established for a recall election must include the name of the officeholder subject to the recall. If the committee is not controlled by the officeholder, the committee must state its support or opposition (e.g., Committee Opposing the Recall of Council Member Doe).

**Supporting or Opposing a Candidate:** The name of each committee primarily formed to support or oppose a state or local candidate(s) being voted on in a single election, other than a recall election, must include the last name of each candidate, the office sought, the year of the election and must state whether the committee supports or opposes the candidate(s) (e.g., Committee to Support Doe for Senate 20XX).

**Statement of Organization  
Recipient Committee**

INSTRUCTIONS ON REVERSE

**CALIFORNIA  
FORM 410**

Page 2

COMMITTEE NAME	I.D. NUMBER	
<ul style="list-style-type: none"> <li>• All committees must list the financial institution where the campaign bank account is located and the person(s) authorized to obtain bank records.</li> </ul>		
NAME OF FINANCIAL INSTITUTION AND PERSON(S) AUTHORIZED TO OBTAIN BANK RECORDS	AREA CODE/PHONE	BANK ACCOUNT NUMBER
ADDRESS OF FINANCIAL INSTITUTION	CITY	STATE
ZIP CODE		

**4. Type of Committee** *Complete the applicable sections.*

**Controlled Committee**

- List the name of each controlling officeholder, candidate, or state measure proponent. If candidate or officeholder controlled, also list the elective office sought or held, and district number, if any, and the year of the election.
- List the political party with which each officeholder or candidate is affiliated or check “nonpartisan.” Stating “No party preference” is acceptable.
- If this committee acts jointly with another controlled committee, list the name and identification number of the other controlled committee.

NAME OF CANDIDATE/OFFICEHOLDER/STATE MEASURE PROPONENT	ELECTIVE OFFICE SOUGHT OR HELD (INCLUDE DISTRICT NUMBER IF APPLICABLE)	YEAR OF ELECTION	PARTY CHECK ONE		
			Nonpartisan	Partisan	(list political party below)
			Nonpartisan	Partisan	(list political party below)

**Primarily Formed Committee** Primarily formed to support or oppose specific candidates or measures in a single election. List below:

CANDIDATE(S) NAME OR MEASURE(S) FULL TITLE (INCLUDE BALLOT NO. OR LETTER) IF A RECALL, STATE “RECALL” IN FRONT OF THE OFFICEHOLDER’S NAME.	CANDIDATE(S) OFFICE SOUGHT OR HELD OR MEASURE(S) JURISDICTION (INCLUDE DISTRICT NO., CITY OR COUNTY, AS APPLICABLE)	CHECK ONE	
		SUPPORT	OPPOSE
		SUPPORT	OPPOSE
		SUPPORT	OPPOSE

## 2. Treasurer and Other Principal Officers:

A committee may have only one treasurer and one assistant treasurer. A candidate may be their own treasurer or assistant treasurer. A committee may not accept a contribution or make an expenditure without a treasurer.

A committee that is not controlled by a candidate or officeholder must disclose the name, street address, and telephone number of the committee's principal officer(s). The principal officer(s) of a committee are the individual(s) primarily responsible for approving the political activity of the committee, including authorizing the content of communications, authorizing contributions and other expenditures, and determining strategy. If more than three individuals qualify as principal officers of the committee, identify no fewer than three.

If no individual other than the committee treasurer qualifies as a principal officer, identify that individual as both the treasurer and the principal officer. An attachment may be necessary.

Provide the email address of the committee treasurer, assistant treasurer, and any other principal officer(s). A committee with three or fewer principal officers must identify all principal officers. If the committee has more than three principal officers, it must identify at least three principal officers.

## 3. Verification/Original Signature(s):

The Form 410 filed with the Secretary of State by paper must contain an original ink signature(s). The Form 410 filed with the Secretary of State by email must contain a verified digital signature(s). The committee treasurer or assistant treasurer must sign the Form 410. Also, each controlling officeholder, candidate or state ballot measure proponent must sign the Form 410. If more than three control the committee, one of them may sign on behalf of all controlling individuals. If a candidate will serve as their own treasurer, they must sign as the candidate and again as the treasurer.

## Bank Account Information

- Qualified committees must list the name and address of the financial institution where the campaign bank account is located and the bank account number.

- Qualified committees must also list the names of persons, other than the treasurer, who are authorized to obtain the bank records of the committee from the financial institution where the committee bank account is maintained. If there are more than two persons other than the treasurer authorized to obtain the bank records, the committee need only list two persons. Disclose the names in the "Name of Financial Institution and Person(s) Authorized to Obtain Bank Records" field. If additional space is needed, an attachment must be used.
- Non-qualified committees are not required to list a bank account or the names of those person(s) authorized to obtain the committee bank records.

## 4. Type of Committee:

**Controlled Committee:** A "controlled committee" is one which is controlled directly or indirectly by an officeholder, candidate, or state measure proponent, or which acts jointly with an officeholder, candidate, state measure proponent, or another controlled committee in connection with making expenditures.

A committee is controlled if the officeholder, candidate, or proponent, his/her agent, or any other committee he/she controls, has a significant influence on the actions or decisions of the committee.

"Proponents" of state measures are persons who request the Attorney General to prepare a title and summary of a state initiative, referendum, or measure.

**Candidate Election Committee:** Identify the candidate's last name, office, election year and party, if applicable.

## Ballot Measure Committee Controlled by State

**Candidate:** Identify each measure on which the committee has spent or anticipates spending \$50,000 or more in the current two-year period, beginning with January 1 of an odd-numbered year. If the ballot designation has not been assigned, describe the purpose of the anticipated measure(s). Amend the Form 410 when a ballot designation is assigned. Provide this information in the primarily formed or general purpose section or on an attachment.

**Legal Defense Committee:** On an attachment, describe the specific legal dispute(s) for which the legal defense fund was established. The Form 410 must be amended within 10 days when legal disputes are either resolved or new disputes are initiated.

**Primarily Formed Committee:** A committee is "primarily formed" when it makes or initially plans to make more than 70% of its contributions and expenditures to support or oppose a specific candidate or measure, or a group of measures or specific local candidates all being voted upon in the same election on the same date. (FPPC Regulation 18247.5)

**New committees:** A new committee formed within six months of a statewide regular election or within 30 days of a state special election is presumed to be primarily formed if the committee makes at least \$25,000 in independent expenditures to support or oppose a state candidate or measure. Monthly review is required for other new committees that spend at least \$1,000 a month and were formed within six months of an election in connection with which the committee makes contributions or expenditures.

Quarterly review at the end of March, June, September and December is required for other committees.

A committee controlled by a candidate for their own candidacy is not a primarily formed committee.

**State ballot measures - qualification ID number:** Certain committees must list in Section 4, Primarily Formed Committee, the Attorney General's Office assigned identification number to a proposed state ballot measure:

- A committee submitting the title and summary;
- A committee primarily formed for the measure; or
- A committee that spends \$100,000 or more on petition circulation for the measure.

# Statement of Organization Recipient Committee

INSTRUCTIONS ON REVERSE

CALIFORNIA  
FORM **410**

Page 3

COMMITTEE NAME

I.D. NUMBER

## 4. Type of Committee *(Continued)*

### **General Purpose Committee**

Not formed to support or oppose specific candidates or measures in a single election. Check only one box:

CITY Committee

COUNTY Committee

STATE Committee

PROVIDE BRIEF DESCRIPTION OF ACTIVITY

### **Sponsored Committee**

List additional sponsors on an attachment.

NAME OF SPONSOR	INDUSTRY GROUP OR AFFILIATION OF SPONSOR

STREET ADDRESS	NO. AND STREET	CITY	STATE	ZIP CODE	AREA CODE/PHONE

### **Small Contributor Committee**

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

Date qualified

## 5. Termination Requirements

By signing the verification, the treasurer, assistant treasurer and/or candidate, officeholder, orponent certify that all of the following conditions have been met:

- This committee has ceased to receive contributions and make expenditures;
- This committee does not anticipate receiving contributions or making expenditures in the future;
- This committee has eliminated or has no intention or ability to discharge all debts, loans received, and other obligations;
- This committee has no surplus funds; and
- This committee has filed all campaign statements required by the Political Reform Act disclosing all reportable transactions.
  - There are restrictions on the disposition of surplus campaign funds held by elected officers who are leaving office and by defeated candidates. Refer to Government Code Section 89519.
  - Leftover funds of ballot measure committees may be used for political, legislative or governmental purposes under Government Code Sections 89511 - 89518, and are subject to Elections Code Section 18680 and FPPC Regulation 18521.5.

**Recall Committees:** A committee supporting or opposing a recall must list “Recall [Officeholder’s Name],” the office held by the recall target officeholder, and mark the appropriate box to indicate whether the committee supports or opposes the recall of the officeholder.

## General Purpose Committee

A committee is a “general purpose committee” if its principal activity is supporting or opposing a variety of candidates or measures voted on in different elections. (FPPC Regulation 18227.5)

- A **state committee** makes contributions or expenditures to support or oppose candidates or measures voted on in state elections, or in more than one county; it does not make over 70% of its contributions or expenditures in a single local jurisdiction. State contributions include contributions to other state general purpose committees. *All political party committees that meet the requirements as a political party pursuant to Elections Code Section 5100 (Government Code Section 85205) (including county central committees) are state committees.*
- A **county committee** makes more than 70% of its contributions or expenditures to support or oppose candidates or measures voted on in a single county, or in more than one jurisdiction within one county. This includes contributions to other general purpose committees in the same county.
- A **city committee** makes more than 70% of its contributions or expenditures to support or oppose candidates or measures voted on in a single city, or in one consolidated city and county. This includes contributions to other city general purpose committees in the same city.

*A city or county committee may make up to four contributions in a calendar year to candidates for elective state office whose districts are within the same jurisdiction and is not required to change its status to a state committee.*

**Brief Description of Organization’s Political Activities:** A multipurpose organization, other than a federal or out-of-state PAC, must describe its mission or most significant activities and describe its political activities.

This description shall include all activities undertaken for the purpose of directly or indirectly supporting or opposing state or local candidates; or qualifying, supporting, or opposing, a state or local ballot measure.

A committee that has made contributions or expenditures of \$5,000 or more during a quarter must review its activity at the end of March, June, September and December to determine if the committee is filing reports in the appropriate jurisdiction. During the first six months, a new committee must check its jurisdictional status each month the committee makes expenditures of \$1,000 or more. If a change of filing locations occurs, reports must be filed in both the new and old jurisdiction through the calendar year.

After marking the appropriate state, county or city box, provide a brief description of the committee’s political activities such as whether it supports candidates or measures that share a common political affiliation.

## Sponsored Committee

A “sponsored committee” is a general purpose or primarily formed committee, other than an officeholder or candidate controlled committee, that has one or more sponsors.

An organization, business, or other entity is a sponsor if one or more of the following apply:

- The committee receives 80% or more of its contributions from the entity or organization or its members, officers, employees, or shareholders.
- The entity or organization collects contributions for the committee by use of payroll deductions or dues from its members, officers or employees.
- The entity or organization, alone or in combination with other entities or organizations, provides all or nearly all of the administrative services for the committee.
- The entity or organization, alone or in combination with other entities or organizations, sets the policies for contribution solicitations or payment of expenditures from committee funds.

See the instructions for Part 1 for a sponsored committee’s name requirements.

## Small Contributor Committee

A “small contributor committee” is one that has been in existence for more than six months; receives contributions from 100 or more persons; makes contributions to five or more candidates; and has not received more than \$200 from one person in a calendar year.

## 5. Termination Requirements:

Recipient committees may only terminate when:

- They have ceased to receive contributions and make expenditures; and
- They do not anticipate receiving contributions, repayments of outstanding loans made to others, or any other receipts in the future, and they do not anticipate making expenditures in the future; and
- They have eliminated or have no intention or ability to discharge all their debts, loans received, and other obligations; and
- They have no funds; and
- They have filed all required campaign statements disclosing all reportable transactions, including disposition of funds.

**State Candidates:** There are mandatory termination deadlines applicable to your committees.

## How to Terminate

After the termination requirements above are met:

**For State Committees:** Complete page one of the Form 410 and mark the termination box. Send the Form and last Form 450 or 460 (mark the termination box) to the Secretary of State.

**For Local Committees:** Complete page one of the Form 410, mark the termination box and send the Form to the Secretary of State. Send a copy of the Form 410 and last Form 450 or 460 (mark the termination box) to your city or county filing officer.

# Rejection of Statements of Organization (Form 410) Frequently Asked Questions

## **1. Why are some Statements of Organization (Form 410) being rejected?**

The Fair Political Practices Commission now requires the Secretary of State to reject Statements of Organization that do not include all of the information set forth in 2 CCR § 18410. Once the Statement of Organization is submitted with the required information, it will be filed.

## **2. Can I obtain an identification number for a committee now and then later file an amendment to provide the additional required information?**

No. All information required by the regulation must be provided on the Form 410 before the Statement of Organization can be filed and before an identification number can be assigned.

## **3. My bank's historic policy has been to not allow a treasurer to open a bank account for a committee until the Secretary of State has assigned the identification number to the committee. However, based on the new regulation, the Secretary of State won't assign the identification number to a candidate-controlled election committee until the bank account number is included on Form 410. What can I do?**

Based on 2 CCR § 18410, most banks will allow the committee to open a bank account based on the EIN (Employer Identification Number) or TIN (Tax Identification Number) issued by the Internal Revenue Service. Once the Secretary of State has assigned the identification number to the committee, the bank will add that number to its records. If the bank has any questions in this regard, suggest that the bank email our Statement of Organization (Form 410) email address at [form410review@sos.ca.gov](mailto:form410review@sos.ca.gov) or call our main phone number at (916) 653-6224.

## **4. Can I provide the missing information online or by telephone?**

No. The information contained in the form is verified by signatures affixed under penalty of perjury. The original and a copy of the Form 410, including appropriate signatures, must be submitted to the Secretary of State.

## **5. Will a previously issued identification number be voided if the Statement of Organization did not include all of the information required?**

No. The new regulation is not retroactive prior to June 7, 2009. Previously issued identification numbers will remain valid, although amendments may be necessary to provide required information.

## **The Form 460 is for use by all recipient committees, including:**

### **Candidates, Officeholders and Their Controlled Committees**

- A candidate or officeholder who has a controlled committee, or who has raised or spent or will raise or spend \$2,000 or more during a calendar year in connection with election to office or holding office. The Form 460 is also required if \$2,000 or more will be raised or spent during the calendar year at the behest of the officeholder or candidate.

### **Primarily Formed Ballot Measure Committees**

- A person, entity, or organization that receives contributions totaling \$2,000 or more during a calendar year for the primary purpose of supporting or opposing the qualification, passage, or defeat of a single ballot measure or two or more measures being voted on in the same city, county, multi-county or state election.

### **Primarily Formed Candidate/Officeholder Committees**

- A person, entity, or organization that receives contributions totaling \$2,000 or more during a calendar year to support or oppose a single candidate or officeholder, or two or more candidates or officeholders who are being voted upon in the same city, county, or multi-county election. This type of committee is not controlled by the candidate(s) or officeholder(s).

### **General Purpose Committees**

- A person, entity, or organization that receives contributions totaling \$2,000 or more during a calendar year to support or oppose various candidates and measures (e.g., political parties, political action committees).

Non-controlled committees that do not receive contributions, loans, or miscellaneous receipts totaling \$100 or more from a single source during a calendar year may use Form 450 – Recipient Committee Campaign Statement – Short Form.

**Note:** Refer to the Statement of Organization, Form 410, for guidance to determine the type of committee.

### **Use the Form 460 to file any of the following:**

- Preelection Statement
- Semi-annual Statement
- Quarterly Statement
- Special Odd-Year Report
- Termination Statement
- Amendment to a previously filed statement

**Note:** Mark the preelection statement box if a committee files a monthly report in connection with a LAFCO proposal.

See reverse for general guidance on where to file this form.

**Contribution Limits:** Candidates for elective state office are subject to state contribution limits. Contributions received by committees for the purpose of making contributions to candidates for elective state office are also subject to limits. A chart identifying the limits is located at [www.fppc.ca.gov](http://www.fppc.ca.gov). In addition, local candidates may be subject to contribution limits imposed by local ordinance. Questions concerning local limits should be addressed to election officials in the local jurisdiction.

This form was prepared by the Fair Political Practices Commission (FPPC). For detailed information on campaign reporting requirements and the Information Practices Act of 1977, see the FPPC Campaign Disclosure Manual for your type of committee (available from your filing officer or the FPPC). Campaign filing deadlines, forms, and other informational materials are available on the FPPC website ([www.fppc.ca.gov](http://www.fppc.ca.gov)).

**Where to File:**

In general, state committees file with the Secretary of State and local committees file with the filing officer of the local jurisdiction.

**State Committees:**

State committees include state candidates and officeholders, all judicial candidates and judges, committees that support or oppose state candidates and ballot measures (e.g. PACs, political parties), committees that support or oppose candidates and ballot measure in more than one county and candidates and committees formed for CalPERS or CalSTRS elections.

**Secretary of State**  
Political Reform Division  
1500 11th Street, Room 495  
Sacramento, CA 95814  
Phone (916) 653-6224  
Fax (916) 653-5045  
[www.sos.ca.gov](http://www.sos.ca.gov)

**Additional Copies:**

- A copy of this form must also be filed with a state candidate's county of domicile's filing officer, if the state candidate committee does not file Form 460 electronically with the Secretary of State.
- A copy of this form must also be filed with a local filing officer if the committee is controlled by a candidate for state elective office and the committee is formed for a local election.
- A copy of this form must also be filed with the relevant CalPERS or CalSTRS office if the committee is a candidate controlled or a primarily formed committee for a CalPERS

or CalSTRS election. A candidate seeking a CalPERS or CalSTRS election is not required to file a copy of the statement with the candidate's county of domicile.

**Local Committees:**

- Elected officers and candidates for local agencies that have jurisdiction in two or more counties and committees that support or oppose candidates or local measures being voted on in one of these jurisdictions, file an original and one copy with the election official for the county with the largest number of registered voters in the district and one copy with their county of domicile.
- Elected county officeholders and candidates for county offices, and committees that support or oppose candidates or ballot measures being voted on within a single county, file an original and one copy with the election official for that county.
- Elected city officeholders and candidates for city offices, and committees that support or oppose candidates and ballot measures in a single city, file an original and one copy with the city clerk.

**Fast Facts:**

**Paper Copies:** Most committees must file the original and one copy in paper format with the designated filing officer. Most state committees must also file an electronic version. Some local jurisdictions also require electronic submissions.

**Electronic Filing:** State committees must file electronic reports with the Secretary of State if

the committee receives contributions or makes expenditures totaling \$25,000 or more.

**General Purpose Committees:** FPPC regulation 18227.5 sets out the procedures for determining whether a committee should file with the state, county or city elections office. In general, such committees file with the Secretary of State unless the committee makes more than 70% of its contributions and expenditures in connection with a city election or county election. The regulation sets out review timelines and exceptions. A committee cannot knowingly file in an incorrect jurisdiction with the intention of avoiding the appropriate legal disclosure to the public. Committees that change jurisdictions file in both jurisdictions until the end of the calendar year.

**LAFCO Proposals:** Committees primarily formed to support or oppose a LAFCO proposal file this form with the county elections office in the county that the proposal may be voted upon. Once a proposal is listed on a ballot, a committee will file as a multi-county, county or city committee.

**Statement of Organization:** A committee must make certain that its Statement of Organization, Form 410, is current and correct. This form includes information such as a candidate's year of election and the name of the committee's principal officers as well as other important information regarding the committee's formation. Information listed on a Form 460 must be the same as that disclosed on the Form 410.

**Recipient Committee  
Campaign Statement  
Cover Page**

COVER PAGE

**CALIFORNIA FORM 460**

Date Stamp

Page \_\_\_\_\_ of \_\_\_\_\_

For Official Use Only

SEE INSTRUCTIONS ON REVERSE

Statement covers period  
from \_\_\_\_\_  
through \_\_\_\_\_

Date of election if applicable:  
(Month, Day, Year)

**1. Type of Recipient Committee:** All Committees – Complete Parts 1, 2, 3, and 4.

<input type="checkbox"/> Officeholder, Candidate Controlled Committee	<input type="checkbox"/> Primarily Formed Ballot Measure Committee
<input type="radio"/> State Candidate Election Committee	<input type="radio"/> Controlled
<input type="radio"/> Recall	<input type="radio"/> Sponsored
(Also Complete Part 5)	
<input type="checkbox"/> General Purpose Committee	<input type="checkbox"/> Primarily Formed Candidate/Officeholder Committee
<input type="radio"/> Sponsored	(Also Complete Part 7)
<input type="radio"/> Small Contributor Committee	
<input type="radio"/> Political Party/Central Committee	

**2. Type of Statement:**

<input type="checkbox"/> Preelection Statement	<input type="checkbox"/> Quarterly Statement
<input type="checkbox"/> Semi-annual Statement	<input type="checkbox"/> Special Odd-Year Report
<input type="checkbox"/> Termination Statement	
(Also file a Form 410 Termination)	
<input type="checkbox"/> Amendment (Explain below)	

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**3. Committee Information**

I.D. NUMBER

COMMITTEE NAME (OR CANDIDATE'S NAME IF NO COMMITTEE)

STREET ADDRESS (NO P.O. BOX)

CITY STATE ZIP CODE AREA CODE/PHONE

MAILING ADDRESS (IF DIFFERENT) NO. AND STREET OR P.O. BOX

CITY STATE ZIP CODE AREA CODE/PHONE

OPTIONAL: FAX / E-MAIL ADDRESS

**Treasurer(s)**

NAME OF TREASURER

MAILING ADDRESS

CITY STATE ZIP CODE AREA CODE/PHONE

NAME OF ASSISTANT TREASURER, IF ANY

MAILING ADDRESS

CITY STATE ZIP CODE AREA CODE/PHONE

OPTIONAL: FAX / E-MAIL ADDRESS

**4. Verification**

I have used all reasonable diligence in preparing and reviewing this statement and to the best of my knowledge the information contained herein and in the attached schedules is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on \_\_\_\_\_  
Date \_\_\_\_\_

By \_\_\_\_\_  
Signature of Treasurer or Assistant Treasurer

Executed on \_\_\_\_\_  
Date \_\_\_\_\_

By \_\_\_\_\_  
Signature of Controlling Officeholder, Candidate, State Measure Proponent or Responsible Officer of Sponsor

Executed on \_\_\_\_\_  
Date \_\_\_\_\_

By \_\_\_\_\_  
Signature of Controlling Officeholder, Candidate, State Measure Proponent

Executed on \_\_\_\_\_  
Date \_\_\_\_\_

By \_\_\_\_\_  
Signature of Controlling Officeholder, Candidate, State Measure Proponent

FPPC Form 460 (Jan/2016)

FPPC Advice: advice@fppc.ca.gov (866/275-3772)

www.fppc.ca.gov

**Period Covered by a Statement:**

The “period covered” by a campaign statement begins the day after the closing date of the last campaign statement filed. For example, if the closing date of the last statement was September 30, the beginning date of the next statement will be October 1.

If this is the committee’s first campaign statement, begin with January 1 of the current calendar year.

The closing date of the statement depends on the type of statement you are filing.

**Date of Election:**

If you are filing this statement as a preelection statement in connection with an election, enter the date of the election.

**Type of Recipient Committee:**

Check one box to indicate the type of committee filing the statement. General descriptions are provided on the cover sheet to this form, or contact your filing officer or the FPPC for assistance. Following are some additional guidelines:

**Controlled Committee**

- A controlled committee is one that is controlled by a candidate, officeholder or, in the case of a state ballot measure committee, by the proponent of the measure. A committee is “controlled” if the candidate, officeholder, or proponent, his or her agent, or any other committee he or she controls, has a significant influence on the actions or decisions of the committee.

**Sponsored Committees**

- A sponsored committee is one that has a sponsor—a business entity, organization, union, or other entity—that meets certain criteria. Sponsored ballot measure committees and general purpose committees must include the name of the sponsor in the name of the committee.

**Small Contributor Committees**

- This term is significant only if the committee makes contributions to candidates running for elective state office.

**Type of Statement:**

Check the appropriate box(es) to indicate the type of statement you are filing (or amending).

**Amendments:** If you are filing an amendment to a previously filed statement, give a brief explanation of the amendment and list the schedules being amended. Include an amended summary page, if applicable. Be sure to enter the period covered of the statement you are amending.

**Termination:** A committee must continue filing campaign statements each year until it is eligible to terminate and files a Form 410 Termination. Most officeholders must continue filing campaign statements until they have terminated all controlled committees and have left office.

**Committee I.D. Number:**

If the committee has not yet received an identification number from the Secretary of State, enter “Not Yet Received.” File Form 410 to obtain an I.D. Number.

**Verification:**

The statement must be signed by the committee treasurer or the assistant treasurer named on the committee’s Statement of Organization (Form 410). An officeholder, candidate, or state measure proponent who controls the committee must also sign the statement. If two or three officeholders, candidates, or proponents control the committee, each must sign the statement. If more than three control the committee, one may sign on behalf of the others.

Under certain circumstances, the responsible officer of a sponsoring organization must sign the statement.

**Additional Important Information:**

Refer to the FPPC Campaign Disclosure Manual for your type of committee for information about:

- When, where, and what type of statements the committee is required to file.
- Closing date of campaign statements.
- Sponsored committee criteria.
- Termination criteria.
- Recordkeeping requirements and prohibitions.

**Recipient Committee  
Campaign Statement  
Cover Page — Part 2**

COVER PAGE - PART 2

**CALIFORNIA 460  
FORM**

Page \_\_\_\_\_ of \_\_\_\_\_

**5. Officeholder or Candidate Controlled Committee**

NAME OF OFFICEHOLDER OR CANDIDATE

OFFICE SOUGHT OR HELD (INCLUDE LOCATION AND DISTRICT NUMBER IF APPLICABLE)

RESIDENTIAL/BUSINESS ADDRESS (NO. AND STREET) CITY STATE ZIP

**Related Committees Not Included in this Statement:** *List any committees not included in this statement that are controlled by you or are primarily formed to receive contributions or make expenditures on behalf of your candidacy.*

COMMITTEE NAME	I.D. NUMBER
NAME OF TREASURER	CONTROLLED COMMITTEE? <input type="checkbox"/> YES <input type="checkbox"/> NO

COMMITTEE ADDRESS STREET ADDRESS (NO P.O. BOX)  
CITY STATE ZIP CODE AREA CODE/PHONE

COMMITTEE NAME	I.D. NUMBER
NAME OF TREASURER	CONTROLLED COMMITTEE? <input type="checkbox"/> YES <input type="checkbox"/> NO

COMMITTEE ADDRESS STREET ADDRESS (NO P.O. BOX)  
CITY STATE ZIP CODE AREA CODE/PHONE

**6. Primarily Formed Ballot Measure Committee**

NAME OF BALLOT MEASURE

BALLOT NO. OR LETTER	JURISDICTION	<input type="checkbox"/> SUPPORT <input type="checkbox"/> OPPOSE
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**Identify the controlling officeholder, candidate, or state measure proponent, if any.**

NAME OF OFFICEHOLDER, CANDIDATE, OR PROPONENT

OFFICE SOUGHT OR HELD DISTRICT NO. IF ANY

**7. Primarily Formed Candidate/Officeholder Committee** *List names of officeholder(s) or candidate(s) for which this committee is primarily formed.*

NAME OF OFFICEHOLDER OR CANDIDATE	OFFICE SOUGHT OR HELD	<input type="checkbox"/> SUPPORT <input type="checkbox"/> OPPOSE
NAME OF OFFICEHOLDER OR CANDIDATE	OFFICE SOUGHT OR HELD	<input type="checkbox"/> SUPPORT <input type="checkbox"/> OPPOSE
NAME OF OFFICEHOLDER OR CANDIDATE	OFFICE SOUGHT OR HELD	<input type="checkbox"/> SUPPORT <input type="checkbox"/> OPPOSE
NAME OF OFFICEHOLDER OR CANDIDATE	OFFICE SOUGHT OR HELD	<input type="checkbox"/> SUPPORT <input type="checkbox"/> OPPOSE

*Attach continuation sheets if necessary*

**Officeholder or Candidate Controlled Committee:**

Candidates must have a separate bank account and committee to run for different elective offices. A candidate who is required to file campaign statements in connection with more than one elective office but is only receiving contributions and making expenditures for one of the offices, may include both offices on one Form 460. In Part 5 of the cover page, enter the candidate's name and under "Office Sought or Held," identify each office, and state whether the candidate is seeking or holding the office. The Form 460 must be filed with the appropriate filing officer(s) for each office.

For example, a city councilmember is raising funds to run for the county board of supervisors. She has no committee and is not raising or spending funds in connection with the city office, and has formed a controlled committee for the county office. To comply with the requirements to file campaign statements for both her city office and her county candidacy, she may complete one Form 460 each campaign reporting period, which she will file with the city clerk and the county elections department. In Part 5 of the Form 460 Cover Page, under "Office Sought or Held," she will state that she is holding the office of city councilmember (including the name of the city) and that she is seeking a seat on the board of supervisors (including the name of the county).

**Ballot Measure Committee:**

Part 6 of the Form 460 Cover Page must be completed by committees that are primarily formed to support or oppose the qualification or passage of a single ballot measure or two or more measures being voted on in the same city, county, multicounty, or state election. A "general purpose" ballot measure committee (one that supports or opposes a variety of state and/or local ballot measures) is not required to complete Part 6.

# Campaign Disclosure Statement

## Summary Page

Amounts may be rounded  
to whole dollars.

SUMMARY PAGE

CALIFORNIA  
FORM

**460**

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

Statement covers period from _____	through _____	Page _____ of _____
		I.D. NUMBER

### Contributions Received

		<b>Column A</b> TOTAL THIS PERIOD (FROM ATTACHED SCHEDULES)	<b>Column B</b> CALENDAR YEAR TOTAL TO DATE
1. Monetary Contributions.....	Schedule A, Line 3	\$ _____	\$ _____
2. Loans Received.....	Schedule B, Line 3	_____	_____
3. SUBTOTAL CASH CONTRIBUTIONS.....	Add Lines 1 + 2	\$ _____	\$ _____
4. Nonmonetary Contributions.....	Schedule C, Line 3	_____	_____
5. TOTAL CONTRIBUTIONS RECEIVED.....	Add Lines 3 + 4	\$ _____	\$ _____

### Calendar Year Summary for Candidates Running in Both the State Primary and General Elections

1/1 through 6/30 7/1 to Date

20. Contributions Received	\$ _____	\$ _____
21. Expenditures Made	\$ _____	\$ _____

### Expenditures Made

6. Payments Made.....	Schedule E, Line 4	\$ _____	\$ _____
7. Loans Made.....	Schedule H, Line 3	_____	_____
8. SUBTOTAL CASH PAYMENTS.....	Add Lines 6 + 7	\$ _____	\$ _____
9. Accrued Expenses (Unpaid Bills) .....	Schedule F, Line 3	_____	_____
10. Nonmonetary Adjustment.....	Schedule C, Line 3	_____	_____
11. TOTAL EXPENDITURES MADE.....	Add Lines 8 + 9 + 10	\$ _____	\$ _____

### Expenditure Limit Summary for State Candidates

#### 22. Cumulative Expenditures Made\* (If Subject to Voluntary Expenditure Limit)

Date of Election  
(mm/dd/yy)

/ _____	/ _____	\$ _____
/ _____	/ _____	\$ _____

### Current Cash Statement

12. Beginning Cash Balance .....	Previous Summary Page, Line 16	\$ _____	To calculate Column B, add amounts in Column A to the corresponding amounts from Column B of your last report. Some amounts in Column A may be negative figures that should be subtracted from previous period amounts. If this is the first report being filed for this calendar year, only carry over the amounts from Lines 2, 7, and 9 (if any).
13. Cash Receipts .....	Column A, Line 3 above	_____	
14. Miscellaneous Increases to Cash .....	Schedule I, Line 4	_____	
15. Cash Payments .....	Column A, Line 8 above	_____	
16. ENDING CASH BALANCE .....	Add Lines 12 + 13 + 14, then subtract Line 15	\$ _____	
<i>If this is a termination statement, Line 16 must be zero.</i>			

17. LOAN GUARANTEES RECEIVED .....	Schedule B, Part 2	\$ _____
------------------------------------	--------------------	----------

### Cash Equivalents and Outstanding Debts

18. Cash Equivalents.....	See instructions on reverse	\$ _____
19. Outstanding Debts.....	Add Line 2 + Line 9 in Column B above	\$ _____

\*Amounts in this section may be different from amounts reported in Column B.

The Summary Page provides an overview of the committee's financial activities and is completed for each filing.

**Column A** reflects activities during the current reporting period as reported on Schedules A through H. It is not necessary to attach a blank schedule if there has been no reportable activity during the period, but it is necessary to enter a zero or the word "none" on the appropriate line in Column A of the Summary Page.

**Column B** figures should reflect the cumulative total since January 1 of the current calendar year.\* Add the totals from Column B of the committee's last campaign statement (if any) to the corresponding amounts in Column A. If this is the first report being filed for a calendar year, only carry forward the amounts reported on Lines 2, 7, and 9 of Column B (if any) from the committee's last statement. (Note: The amounts reported on Lines 2, 7, and 9 of Column B should be the same as the total outstanding amounts disclosed in column (d) of Schedules B, F, and H, respectively, of the current report.)

When loans (Schedules B and H) and accrued expenses (Schedule F) are paid, the figures to be carried from the schedules to Lines 2, 7, and 9 of Column A may be negative numbers. In this case, be sure to show them as negative figures on the Summary Page (e.g., with a minus sign (-) or in parentheses), and subtract them when totaling Columns A and B.

\*There are exceptions to the calendar year "cumulation period" for candidate elections and ballot measure elections held in January and early February, and for ballot measure qualification

activities. Consult the FPPC Campaign Disclosure Manual for your type of committee for additional information.

**Current Cash Statement:**

Lines 12-16 of the Summary Page should accurately reflect your current cash position. Beginning and ending cash balances should include the total amount of funds in your campaign checking and savings accounts, plus any investments that can be readily converted to cash, such as certificates of deposit, money market accounts, stocks and bonds, etc. (Officeholders and candidates are subject to bank account restrictions, and all committees should read the FPPC Campaign Disclosure Manual regarding appropriate uses of campaign funds.)

Line 12 (Beginning Cash Balance) must be the same as the ending cash balance reported on Line 16 of your previous statement's Summary Page. If this is your first campaign statement, enter zero on Line 12.

Line 16 (Ending Cash Balance) is the total of Lines 12, 13, and 14, **minus** Line 15.

**If you are filing a termination statement, Line 16 must be zero.**

**Cash Equivalents:**

"Cash equivalents" include investments that cannot be readily converted to cash, as well as the balance due on all outstanding loans the committee has made to others (from Line 7 of Column B of the Summary Page). Investments that can be readily converted to cash, such as certificates of deposit or money market funds, should be included in the cash

on hand figures on Lines 12 and 16 of the Summary Page.

**Summary for Primary and General Elections (Lines 20 and 21):**

This section is only for committees that are:

- Controlled by a candidate who is being voted on in both the state primary and general elections (does not apply to controlled ballot measure committees); or
- Primarily formed to support or oppose candidates being voted on in both the state primary and general elections.

Complete this summary on the preelection and semi-annual statements for the general election, covering periods during the last six months of the year (July 1 – December 31).

**Expenditure Ceiling Summary for State Candidates (Line 22):**

Candidates for elective state office who have accepted the voluntary expenditure ceiling for a particular election must disclose the total amount of expenditures made through the end of the reporting period that are subject to the expenditure ceiling for the election. Report the date of the election and total amount expended for that election.

Report totals for the primary and general elections separately. This information is no longer required if the expenditure ceiling has been lifted. (See FPPC Campaign Disclosure Manual 1.)

## **Schedule A Monetary Contributions Received**

**Amounts may be rounded to whole dollars.**

**SCHEDULE A**

**CALIFORNIA  
FORM 460**

SEE INSTRUCTIONS ON REVERSE

---

**NAME OF FILER**

**Statement covers period**  
from \_\_\_\_\_  
through \_\_\_\_\_

Page \_\_\_\_\_ of \_\_\_\_\_

I.D. NUMBER

## Schedule A Summary

1. Amount received this period – itemized monetary contributions.  
(Include all Schedule A subtotals.) ..... \$ \_\_\_\_\_
2. Amount received this period – unitemized monetary contributions of less than \$100 ..... \$ \_\_\_\_\_
3. Total monetary contributions received this period.  
(Add Lines 1 and 2. Enter here and on the Summary Page, Column A, Line 1.) ..... **TOTAL \$** \_\_\_\_\_

- \*Contributor Codes
- IND – Individual
- COM – Recipient Committee  
(other than PTY or SCC)
- OTH – Other (e.g., business entity)
- PTY – Political Party
- SCC – Small Contributor Committee

Report monetary contributions (except loans) received during the reporting period on Schedule A. Also report on Schedule A if a contributor forgives a loan for your committee or a third party pays a loan for your committee. Loans received during the period are reported on Schedule B. Certain transfers between a state candidate's controlled committees are also disclosed on Schedule A. (See FPPC Campaign Disclosure Manual 1.)

If a total of \$100 or more is received from a single contributor during a calendar year, report the name, street address, city, state and zip code of the contributor, the amount contributed this period, and the cumulative amount received from the contributor since January 1 of the current calendar year.\* Include monetary and nonmonetary contributions and loans when reporting the cumulative amount.

Contributions totaling less than \$100 received from a single contributor during a calendar year are reported as a lump sum on Line 2 of the Schedule A Summary.

\*There are exceptions to the calendar year "cumulation period" for candidate elections and ballot measure elections held in January and early February, and for ballot measure qualification activities. (See the FPPC Campaign Disclosure Manuals for candidates and ballot measure committees.)

#### **Date Received:**

A monetary contribution has been received when the candidate or committee, or an agent of the candidate or committee, receives or obtains control of the check or other negotiable instrument. There are special rules for reporting the date contributions are received by a committee that collects contributions through employee payroll deductions

or membership dues and contributions received electronically (e.g., credit card, text).

#### **Contributor Codes:**

For each itemized contributor, check the applicable contributor code:

IND – contributions from any individual's personal funds.

COM – contributions from other committees that receive contributions. These committees will have an identification number assigned by the Secretary of State. Examples: political action committees, other candidates' committees. (State committees should use PTY or SCC when appropriate.)

OTH – business entities and other contributors.

PTY – contributions from political parties (including state and county central committees).

SCC – contributions from small contributor committees (applicable only to state candidates and committees).

#### **Contributions from Individuals:**

When itemizing a contribution from an individual, also disclose the contributor's occupation and the name of his or her employer. If the contributor is self-employed, provide the name of his or her business. If the contributor is not employed, enter "none."

It is not necessary to enter occupation and employer information for other types of contributors (such as business entities).

**Missing Contributor Information:** A contribution of \$100 or more must be returned to the contributor within 60 days if the recipient does not obtain the contributor's address, occupation and employer.

#### **Contributions from Committees:**

When itemizing a contribution from another recipient committee, disclose the identification number assigned to that committee by the Secretary of State in addition to its name and address. If no ID number has been assigned, provide the name and address of that committee's treasurer.

#### **Intermediaries:**

If you receive a contribution through an intermediary (i.e., you have received a contribution check from a person other than the true source of the funds), disclose all of the required information for both the intermediary and the actual contributor.

#### **Per Election to Date:**

Candidates subject to state contribution limits (or if required by local ordinance) must disclose the cumulative amount received from each contributor during the limitation cycle in addition to the calendar year cumulative amount. (Candidates for elective state office should refer to FPPC Campaign Disclosure Manual 1.)

#### **Additional Important Information:**

Refer to the FPPC Campaign Disclosure Manual for your type of committee for important information about aggregating monetary and nonmonetary contributions, recordkeeping, prohibitions on cash contributions, returning contributions, and more.

**Schedule A (Continuation Sheet)**  
**Monetary Contributions Received**

Amounts may be rounded  
 to whole dollars.

SCHEDULE A (CONT.)

Statement covers period from _____	<b>CALIFORNIA FORM</b>	<b>460</b>
through _____		
Page _____ of _____	I.D. NUMBER	

NAME OF FILER

DATE RECEIVED	FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CONTRIBUTOR CODE *	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	AMOUNT RECEIVED THIS PERIOD	CUMULATIVE TO DATE CALENDAR YEAR (JAN. 1 - DEC. 31)	PER ELECTION TO DATE (IF REQUIRED)
		<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC				
		<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC				
		<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC				
		<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC				
		<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC				
		<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC				
<b>SUBTOTAL \$</b>						

\*Contributor Codes

IND – Individual

COM – Recipient Committee  
 (other than PTY or SCC)

OTH – Other (e.g., business entity)

PTY – Political Party

SCC – Small Contributor Committee

# Schedule B – Part 1

## Loans Received

Amounts may be rounded  
to whole dollars.

SCHEDULE B - PART 1

CALIFORNIA **460**  
FORM

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

Statement covers period  
from \_\_\_\_\_  
through \_\_\_\_\_

Page \_\_\_\_\_ of \_\_\_\_\_

I.D. NUMBER

FULL NAME, STREET ADDRESS AND ZIP CODE OF LENDER (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	(a) OUTSTANDING BALANCE BEGINNING THIS PERIOD	(b) AMOUNT RECEIVED THIS PERIOD	(c) AMOUNT PAID OR FORGIVEN* THIS PERIOD*	(d) OUTSTANDING BALANCE AT CLOSE OF THIS PERIOD	(e) INTEREST PAID THIS PERIOD	(f) ORIGINAL AMOUNT OF LOAN	(g) CUMULATIVE CONTRIBUTIONS TO DATE
<p><sup>†</sup> <input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC</p>								
		\$ _____	\$ _____	<input type="checkbox"/> PAID \$ _____ <input type="checkbox"/> FORGIVEN \$ _____	\$ _____ DATE DUE _____	_____ % RATE	\$ _____ DATE INCURRED _____	CALENDAR YEAR \$ _____ PER ELECTION** \$ _____
<p><sup>†</sup> <input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC</p>								
		\$ _____	\$ _____	<input type="checkbox"/> PAID \$ _____ <input type="checkbox"/> FORGIVEN \$ _____	\$ _____ DATE DUE _____	_____ % RATE	\$ _____ DATE INCURRED _____	CALENDAR YEAR \$ _____ PER ELECTION** \$ _____
<p><sup>†</sup> <input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC</p>								
		\$ _____	\$ _____	<input type="checkbox"/> PAID \$ _____ <input type="checkbox"/> FORGIVEN \$ _____	\$ _____ DATE DUE _____	_____ % RATE	\$ _____ DATE INCURRED _____	CALENDAR YEAR \$ _____ PER ELECTION** \$ _____
<b>SUBTOTALS</b> \$ _____ \$ _____ \$ _____ \$ _____								

### Schedule B Summary

1. Loans received this period ..... \$ \_\_\_\_\_  
(Total Column (b) plus unitemized loans of less than \$100.)
2. Loans paid or forgiven this period ..... \$ \_\_\_\_\_  
(Total Column (c) plus loans under \$100 paid or forgiven.)  
(Include loans paid by a third party that are also itemized on Schedule A.)
3. Net change this period. (Subtract Line 2 from Line 1.) ..... **NET** \$ \_\_\_\_\_  
Enter the net here and on the Summary Page, Column A, Line 2.

(Enter (e) on  
Schedule E, Line 3)

tContributor Codes  
IND – Individual  
COM – Recipient Committee  
(other than PTY or SCC)  
OTH – Other (e.g., business entity)  
PTY – Political Party  
SCC – Small Contributor Committee

\*Amounts forgiven or paid by another party also must be reported on Schedule A.

\*\* If required.

## Instructions for Schedule B – Part 1 Loans Received

CALIFORNIA  
FORM **460**

All loans received or outstanding are reported on Schedule B. Loans include monetary loans and amounts drawn on lines of credit.

Report loan guarantors on Schedule B – Part 2. A “guarantor” is a third party that co-signs, endorses, or provides security for a loan, or establishes or provides security for a line of credit. A guarantor is also making a contribution.

When a state candidate guarantees a loan from a commercial lending institution in connection with his or her election, both the lending institution and the candidate are required to be disclosed as the lender.

For each loan of \$100 or more that was received or was outstanding during the reporting period, disclose the lender's name and address. Report the original source of all loans received. E.g., for a loan from a commercial lending institution for which a candidate is personally liable, report the lending institution as the lender.

Column (a) – Enter the outstanding loan balance at the beginning of this period (Column (d) of last report). If the loan was received this period, this column will be blank.

Column (b) – Enter the amount received from the lender during this reporting period. If this loan was received in a previous reporting period, leave blank.

Column (c) – Enter the amount of any reduction of the loan during this reporting period. Check whether the loan was paid or forgiven. When the lender forgives a loan or a third party makes a payment on a loan, also report the lender or third party on Schedule A.

Column (d) – Enter the outstanding balance of the loan at the close of this reporting period. Enter the due date, if any.

Column (e) – Enter the interest rate and the amount of interest paid on the loan(s) during this reporting period. Interest paid is reported separately from payments made on the loan principal. Interest payments are also transferred to the Schedule E Summary.

Column (f) – Enter the original amount of the loan and date received. If this is the first time you are reporting the loan, this will be the same amount reported in Column (b).

Column (g) – Enter the cumulative amount of contributions (loans, monetary and nonmonetary contributions) received from the lender during the calendar year covered by this statement. Candidates subject to state contribution limits (or if required by local ordinance) must disclose the cumulative amount received from each contributor during the limitation cycle in addition to the calendar year cumulative amount. (Candidates for elective state office should refer to FPPC Campaign Disclosure Manual 1.)

### Schedule B Summary:

The Schedule B Summary reflects the “net change” in your loan activity. That is, loan payments made during the period are subtracted from new loans received. When the loan payments number is larger than the amount of new loans received, Line 3 will be a negative figure. For example, if \$200 is paid during the period and only \$100 is received in new loans, report the net change on Line 3 as

“-\$100” or “(\$100).” Be sure to carry this figure to the Summary Page as a negative figure to be subtracted from Summary Page totals.

### Additional Important Information:

Refer to the Instructions for Schedule A for important information about:

- Contributor codes
- Contributions from individuals
- Contributions from committees
- Intermediaries

A loan received from a commercial lending institution in the normal course of business is reportable on Schedule B but is not considered a contribution. Contributor codes and cumulative amounts (Column (g)) are required only for loans that are contributions.

Refer to the FPPC Campaign Disclosure Manual for your type of committee for important information about recordkeeping, prohibitions on cash contributions, returning contributions, and more.

**Schedule B – Part 2**  
**Loan Guarantors**

Amounts may be rounded  
to whole dollars.

SCHEDULE B - PART 2

**CALIFORNIA FORM 460**

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

Statement covers period  
from \_\_\_\_\_

through \_\_\_\_\_

Page \_\_\_\_\_ of \_\_\_\_\_

I.D. NUMBER

FULL NAME, STREET ADDRESS AND ZIP CODE OF GUARANTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CONTRIBUTOR CODE	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	LOAN	AMOUNT GUARANTEED THIS PERIOD	CUMULATIVE TO DATE	BALANCE OUTSTANDING TO DATE
	<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC		LENDER _____ DATE _____	CALENDAR YEAR \$ _____ PER ELECTION (IF REQUIRED) \$ _____		
	<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC		LENDER _____ DATE _____	CALENDAR YEAR \$ _____ PER ELECTION (IF REQUIRED) \$ _____		
	<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC		LENDER _____ DATE _____	CALENDAR YEAR \$ _____ PER ELECTION (IF REQUIRED) \$ _____		
	<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC		LENDER _____ DATE _____	CALENDAR YEAR \$ _____ PER ELECTION (IF REQUIRED) \$ _____		
				<b>SUBTOTAL \$</b>	Enter on Summary Page, Line 17 only.	

Guarantors of loans received or outstanding during the reporting period are reported on Schedule B – Part 2. A “guarantor” is a third party that co-signs, endorses, or provides security for a loan, or establishes or provides security for a line of credit. A guarantor is also making a contribution.

For each guarantor of \$100 or more, enter the name and address of the guarantor and, if the guarantor is an individual, his/her occupation and employer or, if self employed, the name of his/her business.

Enter the name of the lender or the entity at which a line of credit was established and the date of the loan or the date the line of credit was established.

Enter the amount guaranteed this period, if applicable. For lines of credit, enter the full amount established or secured by the guarantor during the period. (Report amounts **drawn** on a line of credit on Schedule B – Part 1.)

Enter the cumulative amount guaranteed during the calendar year covered by the statement. Candidates subject to state contribution limits (or if required by local ordinance) must disclose the cumulative amount received from each contributor during the limitation cycle in addition to the calendar year cumulative amount. (Candidates for elective state office should refer to FPPC Campaign Disclosure Manual 1.)

Report the outstanding balance for which the guarantor is liable at the close of this reporting period.

Loan guarantees are not included in the Schedule B Summary, but are carried forward in a lump sum to Line 17 of the Summary Page.

**Schedule C**  
**Nonmonetary Contributions Received**

Amounts may be rounded  
 to whole dollars.

SCHEDULE C

CALIFORNIA  
 FORM **460**

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

Statement covers period from _____	through _____	Page _____ of _____
		I.D. NUMBER

DATE RECEIVED	FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CONTRIBUTOR CODE *	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	DESCRIPTION OF GOODS OR SERVICES	AMOUNT/ FAIR MARKET VALUE	CUMULATIVE TO DATE CALENDAR YEAR (JAN 1 - DEC 31)	PER ELECTION TO DATE (IF REQUIRED)
		<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC					
		<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC					
		<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC					
		<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC					

Attach additional information on appropriately labeled continuation sheets.

**SUBTOTAL \$**

**Schedule C Summary**

1. Amount received this period – itemized nonmonetary contributions.  
 (Include all Schedule C subtotals.).....\$ \_\_\_\_\_
2. Amount received this period – unitemized nonmonetary contributions of less than \$100 .....\$ \_\_\_\_\_
3. Total nonmonetary contributions received this period.  
 (Add Lines 1 and 2. Enter here and on the Summary Page, Column A, Lines 4 and 10.).....**TOTAL \$** \_\_\_\_\_

\*Contributor Codes  
 IND – Individual  
 COM – Recipient Committee  
 (other than PTY or SCC)  
 OTH – Other (e.g., business entity)  
 PTY – Political Party  
 SCC – Small Contributor Committee

# Instructions for Schedule C Nonmonetary Contributions Received

CALIFORNIA  
FORM **460**

Report the receipt of nonmonetary contributions on Schedule C.

Nonmonetary contributions include:

- Goods and services for which you have not paid the fair market value, including items donated for auctions or garage sales, such as artwork or furniture.
- A discount that is not available to the public generally.
- Salary payments made by an employer for an employee who spends 10% or more of his or her compensated time in a calendar month working for your committee.

Volunteer personal services and payments voluntarily made by a person for his or her own campaign-related travel expenses are not reportable. The occupant of a home or office can host a fundraiser without making a nonmonetary contribution as long as the total cost of the fundraiser is \$500 or less.

If a total of \$100 or more is received from a single contributor during a calendar year, report the name, street address, city, state and zip code of the contributor, the amount contributed this period, and the cumulative amount received from the contributor since January 1 of the current calendar year. Include monetary and nonmonetary contributions and loans when reporting the cumulative amount.

Contributions totaling less than \$100 received from a single contributor during a calendar year are reported as a lump sum on Line 2 of the Schedule C Summary.

## **Date Received:**

A nonmonetary contribution has been received on the earlier of the following: 1) the date the contributor made an expenditure for goods or services at your behest (in consultation or coordination with you, or at your request or suggestion); or 2) the date you or your agent obtained possession or control of the goods or services.

## **Per Election to Date:**

Candidates subject to state contribution limits (or if required by local ordinance) must disclose the cumulative amount received from each contributor during the limitation cycle in addition to the calendar year cumulative amount. (Candidates for elective state office should refer to FPPC Campaign Disclosure Manual 1.)

## **Fair Market Value:**

The fair market value of a nonmonetary contribution is the amount it would cost to purchase the goods or services on the open market. The fair market value can be more than the amount it cost the contributor to provide the goods or services to you.

If you do not know the value of a nonmonetary contribution, you may request the contributor to provide you with a written statement of the value. If you make a request in writing and the value of the contribution is \$100 or more, the contributor is required by law to provide the information.

## **Administrative Services:**

Administrative overhead and start-up expenses paid by a sponsoring organization for its sponsored committee are not contributions to the committee but must be reported on Schedule C. Report the value of the services in the "Description of Goods or Services" column and a zero in the "Amount" and "Cumulative to Date" columns.

## **Nonmonetary Contributions as Expenditures:**

The total of nonmonetary contributions is reported on the Summary Page as both contributions received and expenditures made. Enter the total on Line 3 of the Schedule C Summary on both Lines 4 and 10 of the Summary Page. (State Candidates: Most nonmonetary contributions also count for purposes of the voluntary expenditure limits.)

## **Additional Important Information:**

Refer to the Instructions for Schedule A for important information about:

- Contributor codes
- Contributions from individuals
- Contributions from committees
- Intermediaries

Refer to the FPPC Campaign Disclosure Manual for your type of committee for important information about aggregating monetary and nonmonetary contributions, recordkeeping, and more.

**Schedule D**  
**Summary of Expenditures**  
**Supporting/Opposing Other**  
**Candidates, Measures and Committees**

Amounts may be rounded  
to whole dollars.

SCHEDULE D

**CALIFORNIA**  
**460**

Page \_\_\_\_\_ of \_\_\_\_\_

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

I.D. NUMBER

DATE	NAME OF CANDIDATE, OFFICE, AND DISTRICT, OR MEASURE NUMBER OR LETTER AND JURISDICTION, OR COMMITTEE	TYPE OF PAYMENT	DESCRIPTION (IF REQUIRED)	AMOUNT THIS PERIOD	CUMULATIVE TO DATE CALENDAR YEAR (JAN. 1 - DEC. 31)	PER ELECTION TO DATE (IF REQUIRED)
		<input type="checkbox"/> Monetary Contribution <input type="checkbox"/> Nonmonetary Contribution <input type="checkbox"/> Independent Expenditure				
	□ Support    □ Oppose					
		<input type="checkbox"/> Monetary Contribution <input type="checkbox"/> Nonmonetary Contribution <input type="checkbox"/> Independent Expenditure				
	□ Support    □ Oppose					
		<input type="checkbox"/> Monetary Contribution <input type="checkbox"/> Nonmonetary Contribution <input type="checkbox"/> Independent Expenditure				
	□ Support    □ Oppose					
<b>SUBTOTAL \$</b>						

**Schedule D Summary**

1. Itemized contributions and independent expenditures made this period. (Include all Schedule D subtotals.)..... \$ .....
2. Unitemized contributions and independent expenditures made this period of under \$100..... \$ .....
3. Total contributions and independent expenditures made this period. (Add Lines 1 and 2. Do not enter on the Summary Page.) ..... TOTAL .. \$ .....

**Instructions for  
Schedule D  
Summary of Expenditures Supporting/Opposing Other  
Candidates, Measures, and Committees**

Schedule D is a summary of payments reported on Schedules E, F, and H that are contributions or independent expenditures to support or oppose candidates and committees. These include:

- A direct monetary contribution or loan made to another candidate or committee.
- A payment made to a vendor for goods or services for a candidate or committee (a nonmonetary contribution).
- A donation to a candidate or committee of goods on hand, or the payment of salary or expenses for a campaign employee who spends 10% or more of his or her compensated time working for another candidate or committee.
- A payment made for a communication (e.g., a mailing, billboard, radio ad) that expressly advocates the election, passage or defeat of a clearly identified candidate or ballot measure, but the payment is not made to—or at the behest of—the candidate or a ballot measure committee. These payments are “independent expenditures” and may trigger additional reports for your committee.

If a total of \$100 or more is contributed or expended during a calendar year to support or oppose a single candidate, ballot measure, or a general purpose committee (e.g., a political party), disclose the name of the candidate and the office sought or held and the candidate’s district, if any, the number or letter and jurisdiction of the ballot measure, or the name of the general purpose committee. For each candidate or measure listed, indicate whether the payment was made to support or oppose the candidate or measure. For example, if you made a contribution to the Committee Against Measure A, check the “Oppose” box.

Disclose the date(s) and amount(s) of contributions or independent expenditures made this period relative to each candidate, measure, or committee, and the cumulative amount contributed or paid to date relative to the candidate, measure, or committee since January 1 of the current calendar year. Cumulate contributions and independent expenditures separately.

Contributions and expenditures of less than \$100 to support or oppose a single candidate or measure during a calendar year are totaled and reported as a lump sum on Line 2 of the Schedule D Summary.

**Per Election to Date:**

If a contribution is made to a candidate that is subject to state contribution limits (or if required by local ordinance), disclose the total amount contributed to the committee in connection with each limitation cycle and identify the election year. The primary and general elections are separate elections. For example, a \$4,200 contribution to a candidate for the primary election in 2016 would be disclosed as “\$4,200 P-16.”

<b>“Per Election to Date” Column</b>			
Limitation Cycle		Year of Election	
Primary	P	2016	16
General	G	2017	17
Special	S	2018	18
Runoff	R	2019	19

**CALIFORNIA  
FORM 460**

**Description:**

If you contributed goods on hand to another candidate or committee (e.g., office supplies), describe the goods or services in the “Description” column and disclose the fair market value of the contribution. The fair market value is the amount it would cost the recipient to purchase the goods or services. Because payments must be described when they are reported on Schedules E and F, you need not provide a description on Schedule D for payments reported on Schedules E or F that are nonmonetary contributions or independent expenditures.

**Date of Contribution or Expenditure:**

A monetary contribution is made on the date it is mailed, delivered, or otherwise transmitted it to the candidate or committee. A nonmonetary contribution is made on the earlier of the following: 1) the date you made an expenditure for goods or services at the behest of the candidate or committee; or 2) the date the candidate or committee obtained possession or control of the goods or services.

**Additional Important Information:**

Refer to the FPPC Campaign Disclosure Manual for your type of committee for important information about recordkeeping, prohibitions on cash payments, restrictions on the use of campaign funds, and more.

**Schedule D  
(Continuation Sheet)  
Summary of Expenditures  
Supporting/Opposing Other  
Candidates, Measures and Committees**

**Amounts may be rounded to whole dollars.**

SCHEDULE D (CONT.)

**CALIFORNIA FORM 460**

NAME OF FILER						I.D. NUMBER
DATE	NAME OF CANDIDATE, OFFICE, AND DISTRICT, OR MEASURE NUMBER OR LETTER AND JURISDICTION, OR COMMITTEE	TYPE OF PAYMENT	DESCRIPTION (IF REQUIRED)	AMOUNT THIS PERIOD	CUMULATIVE TO DATE CALENDAR YEAR (JAN. 1 - DEC. 31)	PER ELECTION TO DATE (IF REQUIRED)
		<input type="checkbox"/> Monetary Contribution <input type="checkbox"/> Nonmonetary Contribution <input type="checkbox"/> Independent Expenditure				
	<input type="checkbox"/> Support <input type="checkbox"/> Oppose					
		<input type="checkbox"/> Monetary Contribution <input type="checkbox"/> Nonmonetary Contribution <input type="checkbox"/> Independent Expenditure				
	<input type="checkbox"/> Support <input type="checkbox"/> Oppose					
		<input type="checkbox"/> Monetary Contribution <input type="checkbox"/> Nonmonetary Contribution <input type="checkbox"/> Independent Expenditure				
	<input type="checkbox"/> Support <input type="checkbox"/> Oppose					
		<input type="checkbox"/> Monetary Contribution <input type="checkbox"/> Nonmonetary Contribution <input type="checkbox"/> Independent Expenditure				
	<input type="checkbox"/> Support <input type="checkbox"/> Oppose					
SUBTOTAL \$						

# Schedule E Payments Made

Amounts may be rounded  
to whole dollars.

SCHEDULE E

CALIFORNIA  
FORM  
**460**

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

Statement covers period  
from \_\_\_\_\_  
through \_\_\_\_\_

Page \_\_\_\_\_ of \_\_\_\_\_

I.D. NUMBER

**CODES:** If one of the following codes accurately describes the payment, you may enter the code. Otherwise, describe the payment.

CMP	campaign paraphernalia/misc.	MBR	member communications	RAD	radio airtime and production costs
CNS	campaign consultants	MTG	meetings and appearances	RFD	returned contributions
CTB	contribution (explain nonmonetary)*	OFC	office expenses	SAL	campaign workers' salaries
CVC	civic donations	PET	petition circulating	TEL	t.v. or cable airtime and production costs
FIL	candidate filing/ballot fees	PHO	phone banks	TRC	candidate travel, lodging, and meals
FND	fundraising events	POL	polling and survey research	TRS	staff/spouse travel, lodging, and meals
IND	independent expenditure supporting/opposing others (explain)*	POS	postage, delivery and messenger services	TSF	transfer between committees of the same candidate/sponsor
LEG	legal defense	PRO	professional services (legal, accounting)	VOT	voter registration
LIT	campaign literature and mailings	PRT	print ads	WEB	information technology costs (internet, e-mail)

NAME AND ADDRESS OF PAYEE (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CODE	OR	DESCRIPTION OF PAYMENT	AMOUNT PAID

\* Payments that are contributions or independent expenditures must also be summarized on Schedule D.

**SUBTOTAL \$**

## Schedule E Summary

1. Itemized payments made this period. (Include all Schedule E subtotals.)..... \$ \_\_\_\_\_
2. Unitemized payments made this period of under \$100..... \$ \_\_\_\_\_
3. Total interest paid this period on loans. (Enter amount from Schedule B, Part 1, Column (e).)..... \$ \_\_\_\_\_
4. Total payments made this period. (Add Lines 1, 2, and 3. Enter here and on the Summary Page, Column A, Line 6.)..... **TOTAL \$** \_\_\_\_\_

Report payments on Schedule E (other than loans).

For each payment of \$100 or more made during the period, report the name and street address, city, state, and zip code of the payee or creditor, and the amount paid during the period. Payments of less than \$100 during the period are reported as a lump sum on Line 2 of the Schedule E Summary. However, if two or more payments under \$100 were made for a single product or service and the total paid during the period was \$100 or more, itemize the total amount paid during the period.

**Report payments made on accrued expenses.**  
Also report the required information on Schedule F.

**Code or Description of Payment:**

If one of the codes listed on Schedule E fully describes the payment, enter the code. A full description of each code is provided on the back of the Schedule E-Continuation Sheet. If none of the codes fully explains the payment, leave the "Code" column blank and enter a brief description of the goods or services purchased in the "Description of Payment" column.

**Credit Card Payments:**

Disclose the name, address, and amount paid to the credit card company during the period. Also disclose the name, address, amount paid, and code or description of payment for each vendor paid \$100 or more. You may disclose the vendor payments on Schedule E or Schedule G.

**Payments by Agents and Independent Contractors:**

When an agent or independent contractor (e.g., campaign worker, advertising agency, campaign management firm) makes payments on your behalf ("subvendor payments"), disclose the name, address, amount paid, and code or description of payment for each vendor paid \$500 or more. Disclose payments to the agent or independent contractor on Schedule E. You may disclose the subvendor payments on Schedule E or Schedule G.

**Loans:**

Report interest paid on loans received on Line 3 of the Schedule E Summary (from Schedule B, Part 1, Column (e)).

Report payments made on loans received on Schedule B and loans made to others on Schedule H. Do not report on Schedule E.

**Savings Accounts/Certificates of Deposit/Money Market Accounts:**

Do not report transfers of campaign funds into savings accounts, certificates of deposit, money market accounts, or the purchase of any other asset that can readily be converted to cash on Schedule E. Continue reporting these amounts as part of your cash on hand on the Summary Page.

**Candidates:**

- Candidates must briefly describe the political, legislative, or governmental purpose of an itemized expenditure for gifts, meals, and travel payments. FPPC Regulation 18421.7 sets out the requirements.
- Candidate controlled ballot measure committee funds may only be used to make payments related to a state or local measure or potential measure (including qualification activities) anticipated by the committee. See FPPC regulation 18521.5.

**Ballot Measure Committees**

A ballot measure committee that makes a payment to any business entity (1) which is owned 50 percent or more by any of the individuals listed below, or (2) in which any of the individuals listed below is an officer, partner, consultant or employee, must report that individual's name, relationship to the committee, and a description of the ownership interest or position with the business entity.

Individuals covered by (1) and (2) above include:

- A candidate or person controlling the committee; or
- An officer or employee of the committee; or
- The spouse of any of the above.



**Codes:**

**CMP:** **Campaign paraphernalia/misc.** Lawn signs, buttons, bumper stickers, T-shirts, potholders, etc. Includes costs of election night event.

**CNS:** **Campaign consultants.** Fees and commissions paid to professional campaign management or consulting firms.

**CTB:** **Contributions.** Contributions made to other candidates and committees. Use "CTB" for direct monetary contributions. For nonmonetary (in-kind) contributions, use "CTB" and, if one of the other codes accurately describes the expenditure, you may enter that code also. Otherwise, describe the payment. Also provide the name of the candidate or committee that received the nonmonetary contribution in the "Description of Payment" column.\*

**CVC:** **Civic donations.** Donations to civic, nonprofit or education organizations; payments for community events.

**FIL:** **Candidate Filing/Ballot Fees.** Payments to election officials for candidate filing fees and fees charged for publication of a ballot statement.

**FND:** **Fundraising events.** Expenditures associated with holding a fundraising event, including payments for event space to hotels or halls, payments for food and beverages to restaurants, caterers and other vendors, and payments for speakers, entertainment, and decorations. Includes costs of house parties. (Use "LIT" for costs of invitations, brochures, and solicitations associated with fundraising events.)

**IND:** **Independent expenditures.** Payments for communications that support/oppose other candidates or measures that are not made in consultation or coordination with the candidates or a ballot measure committee. Use "IND" and, if one of the other codes accurately describes

the independent expenditure, you may enter that code also. Otherwise, describe the payment. Also provide the name of the candidate or ballot measure supported or opposed by the expenditure.\*

**LEG:** **Legal Defense.** Attorney or other fees paid for legal defense.

**LIT:** **Campaign literature and mailings.**

Preparation, production, and distribution of campaign literature, direct mail pieces, fundraising solicitations, and door hangers. Includes costs of mailing lists, design/graphics, copy and layout, printing and photocopying. Includes payments to be on a slate mailer, and for absentee ballot mailers.

**MBR:** **Member Communications.** Payments for communications to members, employees, or shareholders of an organization, or their family members, for the purpose of supporting or opposing a candidate or ballot measure.

**MTG:** **Meetings and appearances.** Costs associated with meetings, press conferences, town halls, constituent meetings, etc.

**OFC:** **Office expenses.** Expenditures for office rent; utilities (including cellular phone service); purchase or rental of office equipment (computer, fax, photocopier, etc.) and furniture; office supplies, etc.

**PET:** **Petition circulating.** Includes payments for printing petitions and payments to signature gathering firms for ballot measure qualification drives.

**PHO:** **Phone banks.** Costs of phone banks.

**POL:** **Polling and survey research.** Costs of designing and conducting polls, reports on election trends, voter surveys, etc.

**POS:** **Postage, delivery and messenger services.** Includes U.S. Postal Service, Federal Express, United Parcel Service, and other delivery and courier services.

**PRO:** **Professional services.** Includes legal, accounting, and bookkeeping services.

**PRT:** **Print space and production costs.** Includes advertising space in newspapers, magazines and other publications, and billboard ads.

**RAD:** **Radio airtime and production costs.**

**RFD:** **Returned contributions.**

**SAL:** **Campaign workers salaries.** Includes state and federal payroll taxes.

**TEL:** **Television or cable airtime and video production costs.**

**TRC:** **Candidate travel.** Payments or reimbursements for travel, lodging, and meals of a candidate.

**TRS:** **Staff/spouse travel.** Payments or reimbursements for travel, lodging, and meals of a candidate's representative (staff), or member of the candidate's household.

**TSF:** **Transfers.** Only use this code to report the transfer of funds to another authorized committee of the same candidate or sponsoring organization. Report funds this committee gives to other committees on Schedule E, as contributions ("CTB") to those committees, not as transfers.

**VOT:** **Voter registration costs.**

**WEB:** **Information technology costs.** Includes payments for website design, e-mail, internet access, production of website and e-mail advertising.

**\*Payments that are contributions or independent expenditures to support or oppose other candidates, measures, and committees must also be summarized on Schedule D.**

# Schedule F

## Accrued Expenses (Unpaid Bills)

Amounts may be rounded  
to whole dollars.

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

Statement covers period from _____	CALIFORNIA FORM <b>460</b>
through _____	Page _____ of _____
I.D. NUMBER	

**CODES:** If one of the following codes accurately describes the payment, you may enter the code. Otherwise, describe the payment.

CMP	campaign paraphernalia/misc.	MBR	member communications	RAD	radio airtime and production costs
CNS	campaign consultants	MTG	meetings and appearances	RFD	returned contributions
CTB	contribution (explain nonmonetary)*	OFC	office expenses	SAL	campaign workers' salaries
CVC	civic donations	PET	petition circulating	TEL	t.v. or cable airtime and production costs
FIL	candidate filing/ballot fees	PHO	phone banks	TRC	candidate travel, lodging, and meals
FND	fundraising events	POL	polling and survey research	TRS	staff/spouse travel, lodging, and meals
IND	independent expenditure supporting/opposing others (explain)*	POS	postage, delivery and messenger services	TSF	transfer between committees of the same candidate/sponsor
LEG	legal defense	PRO	professional services (legal, accounting)	VOT	voter registration
LIT	campaign literature and mailings	PRT	print ads	WEB	information technology costs (internet, e-mail)

NAME AND ADDRESS OF CREDITOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CODE OR DESCRIPTION OF PAYMENT	(a) OUTSTANDING BALANCE BEGINNING OF THIS PERIOD	(b) AMOUNT INCURRED THIS PERIOD	(c) AMOUNT PAID THIS PERIOD (ALSO REPORT ON E)	(d) OUTSTANDING BALANCE AT CLOSE OF THIS PERIOD

\* Payments that are contributions or independent expenditures must also be summarized on Schedule D.

**SUBTOTALS \$ \$ \$ \$**

## Schedule F Summary

1. Total accrued expenses incurred this period. (Include all Schedule F, Column (b) subtotals for accrued expenses of \$100 or more, plus total unitemized accrued expenses under \$100.) ..... **INCURRED TOTALS \$** \_\_\_\_\_
2. Total accrued expenses paid this period. (Include all Schedule F, Column (c) subtotals for payments on accrued expenses of \$100 or more, plus total unitemized payments on accrued expenses under \$100.) ..... **PAID TOTALS \$** \_\_\_\_\_
3. Net change this period. (**Subtract** Line 2 from Line 1. Enter the difference here and on the Summary Page, Column A, Line 9.) ..... **NET \$** \_\_\_\_\_

May be a negative number

# Instructions for Schedule F Accrued Expenses (Unpaid Bills)

CALIFORNIA  
FORM **460**

Report unpaid bills for goods or services on Schedule F.

If the amount owed to a single vendor is \$100 or more at the end of the reporting period, you must disclose the name and street address, city, state, and zip code of the payee or creditor and the amount incurred during the period that is outstanding at the end of the period (Column (b)). Continue reporting the accrued expense on each subsequent campaign statement until it is paid.

You are not required to report on Schedule F regular administrative overhead expenses, such as rent, utilities, phones, or employee salaries if you have not received a bill in the normal course of business or if the due date for the payment is after the closing date of the statement.

If you do not know the exact amount of a debt or obligation, provide an estimate. Once the exact amount is known, amend the estimated amount or note the correct amount on the next campaign statement.

Unpaid bills of less than \$100 at the end of the reporting period are added together and included in the total reported on Line 1 of the Schedule F Summary.

When accrued expenses are paid, the payments are reported on Schedule E. Also report the payment on Schedule F, Column (c).

## Code or Description of Payment:

If one of the expenditure codes listed on Schedule F fully describes the payment, enter the code. A full description of each code is provided on the

back of the Schedule E Continuation Sheet. If none of the codes fully explains the expenditure, enter a brief description of the goods or services instead.

There are special instructions on the back of the Schedule E Continuation Sheet for coding and describing nonmonetary contributions and independent expenditures to support/oppose other candidates, committees, and ballot measures.

Accrued expenses that are nonmonetary contributions and independent expenditures must also be summarized on Schedule D when incurred.

## Credit Card Payments:

Disclose the name, address, and amount owed or paid to the credit card company during the period. Also disclose the name, address, amount paid, and code or description of payment for each vendor paid \$100 or more. You may disclose the vendor payments on Schedule F or Schedule G.

## Payments by Agents and Independent Contractors:

When an agent or independent contractor (e.g., campaign worker, advertising agency, campaign management firm) makes payments on your behalf (“subvendor payments”), disclose the name, address, amount paid, and code or description of payment for each vendor paid \$500 or more. Disclose amounts owed to the agent or independent contractor on Schedule F. You may disclose the subvendor payments on Schedule F or Schedule G.

Note: It is not necessary to reitemize credit card vendors or agent subvendors on Schedule F or G when payments are made on accrued expenses, or if an accrued expense is itemized on more than one statement.

## Forgiveness or Third Party Payment of an Accrued Expense:

If a creditor forgives or reduces an outstanding debt, or a third party pays a debt for you, report the transaction as follows:

- In the “Description of Payment” column, state that the debt was forgiven, reduced, or paid by a third party.
- Report the amount forgiven, reduced, or paid by a third party as a negative figure in the “Amount Incurred This Period” column (Column (b)).
- Report a nonmonetary contribution from the creditor or third party on Schedule C.

Do not report the forgiveness, reduction, or third party payment on Schedule E.

Refer to the FPPC Campaign Disclosure Manual for your type of committee for important information about recordkeeping, cash expenditures, permissible uses of campaign funds, and more.

**Schedule F  
(Continuation Sheet)  
Accrued Expenses (Unpaid Bills)**

Amounts may be rounded  
to whole dollars.

SCHEDULE F (CONT.)

**CALIFORNIA FORM 460**

Page \_\_\_\_\_ of \_\_\_\_\_

NAME OF FILER

I.D. NUMBER

**CODES:** If one of the following codes accurately describes the payment, you may enter the code. Otherwise, describe the payment.

CMP campaign paraphernalia/misc.

CNS campaign consultants

CTB contribution (explain nonmonetary)\*

CVC civic donations

FIL candidate filing/ballot fees

FND fundraising events

IND independent expenditure supporting/opposing others (explain)\*

LEG legal defense

LIT campaign literature and mailings

MBR member communications

MTG meetings and appearances

OFC office expenses

PET petition circulating

PHO phone banks

POL polling and survey research

POS postage, delivery and messenger services

PRO professional services (legal, accounting)

PRT print ads

RAD radio airtime and production costs

RFD returned contributions

SAL campaign workers' salaries

TEL t.v. or cable airtime and production costs

TRC candidate travel, lodging, and meals

TRS staff/spouse travel, lodging, and meals

TSF transfer between committees of the same candidate/sponsor

VOT voter registration

WEB information technology costs (internet, e-mail)

\* Payments that are contributions or independent expenditures must also be summarized on Schedule D.

NAME AND ADDRESS OF CREDITOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CODE OR DESCRIPTION OF PAYMENT	(a) OUTSTANDING BALANCE BEGINNING OF THIS PERIOD	(b) AMOUNT INCURRED THIS PERIOD	(c) AMOUNT PAID THIS PERIOD (ALSO REPORT ON E)	(d) OUTSTANDING BALANCE AT CLOSE OF THIS PERIOD
<b>SUBTOTALS \$</b>		\$	\$	\$	\$



**Instructions for  
Schedule G  
Payments Made by an Agent or  
Independent Contractor**

---

CALIFORNIA  
FORM **460**

Report payments made on your behalf during the reporting period by an agent or independent contractor (such as a campaign management firm or an advertising agency) on Schedule G.

Schedule G may be completed by the agent or independent contractor and provided to you or Schedule G may be completed by you from information provided by the agent or independent contractor.

Report expenditures of \$500 or more (other than expenditures for the agent's or independent contractor's overhead and normal operating expenses) made on your behalf during the reporting period.

Once a subvendor payment has been itemized on Schedule E, F, or G, it does not need to be itemized again. For example, if a subvendor payment is reported on Schedule F or G as part of an accrued expense, the subvendor information does not need to be reported again on subsequent reports.

**Code or Description of Payment:**

If one of the expenditure codes listed on Schedule G fully describes the payment, enter the code. A full description of each code is provided on the back of the Schedule E Continuation Sheet. If none of the codes fully explains the expenditure, enter a brief description of the payment instead.

**Important: Officeholders and candidates** may reimburse an agent or independent contractor for expenditures made on their behalf only if all of the following criteria are met:

- There is a written contract between the officeholder or candidate and the agent or independent contractor that provides for the reimbursement;
- The treasurer is provided with a dated receipt and written description of each expenditure prior to reimbursement; and
- Reimbursement is paid within 45 calendar days after the agent or independent contractor makes the expenditures.

Generally, if reimbursement is not paid within 45 calendar days, report the expenditure as a nonmonetary contribution on Schedule C.

Refer to the FPPC Campaign Disclosure Manual for your type of committee for additional instructions.

**Schedule H**  
**Loans Made to Others\***
Amounts may be rounded  
to whole dollars.Statement covers period  
from \_\_\_\_\_  
through \_\_\_\_\_
**CALIFORNIA FORM 460**

Page \_\_\_\_\_ of \_\_\_\_\_

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

I.D. NUMBER

FULL NAME, STREET ADDRESS AND ZIP CODE OF RECIPIENT (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	(a) OUTSTANDING BALANCE BEGINNING THIS PERIOD	(b) AMOUNT LOANED THIS PERIOD	(c) REPAYMENT OR FORGIVENESS THIS PERIOD*	(d) OUTSTANDING BALANCE AT CLOSE OF THIS PERIOD	(e) INTEREST RECEIVED	(f) ORIGINAL AMOUNT OF LOAN	(g) CUMULATIVE LOANS TO DATE
		\$ _____	\$ _____	<input type="checkbox"/> PAID \$ _____ <input type="checkbox"/> FORGIVEN	\$ _____ DATE DUE	_____ % RATE	\$ _____ DATE INCURRED	CALENDAR YEAR \$ _____ PER ELECTION** \$ _____
		\$ _____	\$ _____	<input type="checkbox"/> PAID \$ _____ <input type="checkbox"/> FORGIVEN	\$ _____ DATE DUE	_____ % RATE	\$ _____ DATE INCURRED	CALENDAR YEAR \$ _____ PER ELECTION** \$ _____
*Loans that are contributions to another candidate or committee must also be summarized on Schedule D. Loans forgiven must also be reported on Schedule E.		<b>SUBTOTALS</b>	\$ _____	\$ _____	\$ _____	\$ _____	(Enter (e) on Schedule I, Line 3)	

**Schedule H Summary**

1. Loans made this period.....\$ \_\_\_\_\_  
(Total Column (b) plus unitemized loans of less than \$100.)
2. Payments received on loans.....\$ \_\_\_\_\_  
(Total Column (c) plus unitemized payments of less than \$100.)
3. Net change this period. (Subtract Line 2 from Line 1.).....NET \$ \_\_\_\_\_  
(Enter the net here and on the Summary Page, Column A, Line 7.)

\*\*If Required

All loans made or outstanding are reported on Schedule H.

Generally, campaign funds may be used to make loans to other candidates, officeholders, or committees (unless otherwise prohibited) and to bona fide charitable, educational, civic, religious, or similar tax-exempt nonprofit organizations. There are restrictions on loans to any other person, including a candidate who controls the committee, or to a nonprofit organization that is affiliated with a candidate, the treasurer, or other committee officials.

For each loan of \$100 or more that was made or was outstanding during the reporting period, disclose the recipient's name and address and, if an individual, his/her occupation and employer or, if self employed, the name of the business.

Column (a) – Enter the outstanding loan balance at the beginning of this period (column (d) of last report.) If the loan was made this period, this column will be blank.

Column (b) – Enter the amount loaned to the recipient during this reporting period. If this loan was made in a previous reporting period, leave blank.

Column (c) – Enter the amount of any reduction of the loan during this reporting period. Check whether the loan was paid or forgiven. If the committee forgives a loan, also report the transaction on Schedule E.

Column (d) – Enter the outstanding balance of the loan(s) at the close of this reporting period. Enter the due date, if any.

Column (e) – Enter the interest rate and amount of interest received on the loan(s) during this reporting period. Interest received is reported separately from payments received on the loan principal. Interest payments are also transferred to the Schedule I Summary.

Column (f) – Enter the original amount of the loan and date made. If this is the first time you are reporting the loan, this will be the same amount reported in Column (b).

Column (g) – For each loan made during this reporting period that is a contribution,\* enter the cumulative amount of contributions (loans, monetary and nonmonetary contributions) made to the recipient during the calendar year covered by the statement. If the recipient is a candidate subject to state contribution limits, or the information is required by local ordinance, also enter the total amount contributed to the candidate in connection with each limitation cycle and identify the election year. (For contributions to state candidates, see the Schedule D instructions.)

**Schedule H Summary:**

The Schedule H Summary reflects the “net change” in the committee’s loan activity. That is, repayments received are subtracted from new loans made. When the repayment number is larger than the amount of the new loans made, Line 3 will be a negative figure. For example, if \$200 is received by the committee during the period and only \$100 is made in new loans, report the net change on Line 3 as “-\$100” or “(\$100).” Be sure to carry this figure to the Summary Page as a negative figure to be subtracted from Summary Page totals.

Refer to the FPPC Campaign Disclosure Manual for your type of committee for important information about recordkeeping, prohibitions on cash contributions, loan restrictions, and more.

\*Loans that are contributions to candidates or other committees must also be reported on Schedule D.

## **Schedule I**

### **Miscellaneous Increases to Cash**

**Amounts may be rounded to whole dollars.**

## SCHEDULE I

**CALIFORNIA  
FORM 460**

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

**Statement covers period**

**through** \_\_\_\_\_

Page \_\_\_\_\_ of \_\_\_\_\_

**ID NUMBER**

I.D. NUMBER

DATE RECEIVED	FULL NAME AND ADDRESS OF SOURCE (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	DESCRIPTION OF RECEIPT	AMOUNT OF INCREASE TO CASH

*Attach additional information on appropriately labeled continuation sheets.*

**SUBTOTAL \$**

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## Schedule | Summary

1. Itemized increases to cash this period. .... \$ \_\_\_\_\_  
 2. Unitemized increases to cash of under \$100 this period. .... \$ \_\_\_\_\_  
 3. Total of all interest received this period on loans made to others. (Schedule H, Column (e).) .... \$ \_\_\_\_\_  
 4. Total miscellaneous increases to cash this period. (Add Lines 1, 2, and 3. Enter here and on the  
     Summary Page, Line 14.) ..... **TOTAL** \$ \_\_\_\_\_

**Instructions for  
Schedule I  
Miscellaneous Increases to Cash**

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**CALIFORNIA  
FORM 460**

Report any transaction that increases the cash position of the officeholder, candidate, or committee, but is not a monetary contribution, loan, or loan repayment, on Schedule I.

Itemize the sources of \$100 or more received during the reporting period.

Examples include:

- Interest received or credited to checking or savings accounts or other time deposits.
- Proceeds from the sale of property, such as paintings, furniture, or other items sold at garage sales or auctions, etc., when the amount received is the “fair market value” of the item. Amounts received over the fair market value are reported on Schedule A. (Report donated items as nonmonetary contributions on Schedule C.)
- Proceeds from the sale of campaign property, such as office furniture or equipment.
- Refunds received on deposits, such as telephone deposits.
- Refunds received from overpayment of bills.
- Transfers received from another authorized committee of the same candidate. (Candidates for elective state office should refer to FPPC Campaign Disclosure Manual 1 for information about reporting transferred funds that must be attributed to specific contributors of the committee making the transfer.)

Report on Line 3 of the Schedule I Summary the lump sum of interest payments received on loans made to others. Do not itemize. This amount is transferred from Schedule H, Column (g).

**Who Uses Form 470:**

Form 470 is for use by officeholders and candidates who:

- do not have a controlled committee;
- do not anticipate receiving contributions totaling \$2,000 or more during the calendar year; and
- do not anticipate spending \$2,000 or more during the calendar year.

Officeholders and candidates who have a controlled committee or who have raised or spent \$2,000, file the Recipient Committee Statement – Form 460.

**Exceptions:**

The following individuals seeking or holding office are not required to file campaign disclosure statements (Form 470 or Form 460):

- candidates for county central committee offices that do not raise or spend \$2,000 or more in a calendar year;
- officeholders whose salaries are less than \$200 per month and judicial candidates who have not made or received contributions or made expenditures during non-election years; and
- judges who do not receive contributions and who make personal expenditures of less than \$1,000 or more in non-election years.

**Period Covered:**

The period covered is always the calendar year (January 1 through December 31).

**\$2,000 Threshold:**

To determine if \$2,000 has been raised or spent, or will be raised or spent, the candidate's personal funds for the filing fee or statement of qualifications are excluded.

A campaign bank account must be established if the candidate receives contributions from other persons.

**When to File:**

Ensure campaign deadlines are met. Go to [www.fppc.ca.gov](http://www.fppc.ca.gov) for campaign disclosure filing schedules.

If the Form 470 is filed in connection with an election, or on or before the filing deadline for the first campaign statement required for the calendar year, no additional campaign statements need to be filed for that calendar year as long as total contributions received remain less than \$2,000 and total expenditures made remain less than \$2,000. In most cases, July 31 is the filing deadline for the first campaign statement required to be filed by officeholders and candidates not being voted upon.

The Form 470 is filed in connection with an election if it is filed with the declaration of candidacy, or as a first preelection statement in connection with an election, covering the year of the election. If, after filing Form 470, receipts or expenditures reach \$2,000 or more, see the attached Form 470 Supplement for important reporting requirements.

**Where to File:**

**State Elections:**

State officeholders, state candidates, candidates and members of CalPERS and CalSTRS, judges and judicial candidates must file the original and one copy with:

Secretary of State  
Political Reform Division  
1500 11th Street, Room 495  
Sacramento, CA 95814  
Phone (916) 653-6224  
Fax (916) 653-5045  
[www.sos.ca.gov](http://www.sos.ca.gov)

**Additional Copies:**

A copy of the Form 470 must also be filed with the candidate's county of domicile's filing officer. CalPERS and CalSTRS board candidates must file a copy of the Form 470 with the relevant CalPERS or CalSTRS office and not the candidate's county of domicile.

**Local Elections:**

- Elected officers and candidates for local multi-county agencies file an original and one copy with the elections official for the county with the largest number of registered voters in the district and one copy with the candidate's county of domicile.
- Elected county officeholders and candidates for county offices file an original and one copy with the elections official for that county.
- Elected city officeholders and candidates for city offices file an original and one copy with the city clerk.

**Note:** A local agency may impose additional requirements.

**Amendments:** If you are filing an amendment to a previously filed statement, give a brief explanation of the amendment. Be sure to enter the calendar year covered by the statement you are amending and the date of election, if applicable.

This form was prepared by the Fair Political Practices Commission (FPPC). For detailed information on campaign reporting requirements and the Information Practices Act of 1977, see the FPPC Campaign Disclosure Manual.

**Officeholder and Candidate  
Campaign Statement -  
Short Form**

Date of election if applicable: (Month, Day, Year)	<input type="checkbox"/> <b>Amendment</b> (Explain Below) _____ _____	Date Stamp	<b>CALIFORNIA FORM 470</b>
		For Official Use Only	

**1. Statement Covers Calendar Year 20 \_\_\_\_.**

**2. Officeholder or Candidate Information**

NAME OF OFFICEHOLDER OR CANDIDATE

STREET ADDRESS

CITY STATE ZIP CODE

AREA CODE/DAYTIME PHONE NUMBER

OPTIONAL: FAX / E-MAIL ADDRESS

**3. Office Sought or Held**

OFFICE SOUGHT OR HELD

JURISDICTION (LOCATION)

DISTRICT NUMBER  
(IF APPLICABLE)

**4. Committee Information**

List all committees of which you have knowledge that are primarily formed to receive contributions or to make expenditures on behalf of your candidacy.

COMMITTEE NAME AND I.D. NUMBER	COMMITTEE ADDRESS	NAME OF TREASURER

**5. Verification**

I declare under penalty of perjury that to the best of my knowledge I anticipate that I will receive less than \$2,000 and that I will spend less than \$2,000 during the calendar year and that I have used all reasonable diligence in preparing this statement. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on \_\_\_\_\_  
DATE \_\_\_\_\_

By \_\_\_\_\_  
SIGNATURE OF OFFICEHOLDER OR CANDIDATE

**Clear Form**

**Print Form**

**Officeholder and Candidate  
Campaign Statement -  
Form 470 Supplement**

SEE INSTRUCTIONS ON REVERSE

**Amendment** (Explain Below)

Date Stamp

**CALIFORNIA  
FORM**

**470**

For Official Use Only

This form is written notification that the officeholder/candidate listed below has received contributions totaling \$2,000 or more or has made expenditures of \$2,000 or more during the calendar year.

**1. Officeholder or Candidate Information**

NAME OF OFFICEHOLDER OR CANDIDATE

STREET ADDRESS

CITY

STATE

ZIP CODE

AREA CODE/DAYTIME PHONE NUMBER

OPTIONAL: FAX / E-MAIL ADDRESS

**2. Office Sought**

OFFICE SOUGHT

DISTRICT NUMBER  
(IF APPLICABLE)

DATE OF ELECTION (MONTH, DAY, YEAR)

**3. Date Contributions Totaling \$2,000 or More Were Received or Date Expenditures of \$2,000 or More Were Made**

(MONTH, DAY, YEAR)

**Clear Form**

**Print Form**

**Form 470 Supplement:**

If an officeholder or candidate files the Form 470 for an election year and later receives contributions (including monetary and non-monetary contributions, loans, and the candidate's personal funds) totaling \$2,000 or more or makes expenditures totaling \$2,000 or more during the same calendar year, the officeholder or candidate must send a written notice within 48 hours. Use the attached Form 470 Supplement or follow the instructions below for preparing the notice.

**When to File:**

The notice must be sent within 48 hours of receiving contributions totaling \$2,000 or more or making expenditures of \$2,000 or more.

**Method of Delivery:**

The notice must be sent by guaranteed overnight delivery service, personal delivery, fax, or email. Regular mail may not be used.

**Where to File:**

- Secretary of State's Office;
- local filing officer with whom the officeholder/candidate is required to file the originals of his/her campaign statements; and
- each candidate seeking the same office.

Contact your filing officer for candidate addresses.

**Officeholder/Candidate Information**

Enter the officeholder/candidate's full name, residential or business address and daytime telephone number.

**Office Sought**

- Enter the title of the office sought;
- the district number, if any; and
- the date of the election.

**Date Contributions/Expenditures Were Made or Received:**

Enter the date monetary or non-monetary contributions totaling \$2,000 or more (including the candidate's personal funds) were received or the date expenditures of \$2,000 or more were made.

**Amendments:** If you are filing an amendment to a previously filed statement, give a brief explanation of the amendment.

**Note:** Once an officeholder or candidate reaches the \$2,000 threshold in receipts or expenditures, in addition to filing the Form 470 Supplement, other forms are required. See FPPC Campaign Disclosure Manual 1 for state candidates or Manual 2 for local candidates.

**Who Uses Form 497**

- Candidates and certain committees that make or receive contributions that total in the aggregate \$1,000 or more in the 90 days before or on the date of an election.
- State candidates and state primarily formed ballot measure committees that file electronically and receive a contribution of \$5,000 or more at any time other than a 90-day election cycle.
- State recipient committees that file electronically and make contributions totaling \$5,000 or more to a state ballot measure committee.
- Certain recipient committees that make contributions totaling \$5,000 or more to support or oppose the **qualification** of a local ballot measure.<sup>1</sup>

**State Committees - When a Form 497 is Required**

State committees must file a Form 497 when:

- Contributions that total in the aggregate \$1,000 or more are either:
  - made to a candidate or a primarily formed committee to support or oppose a candidate or ballot measure in the 90 days before or on the date of an election; or
  - received by a candidate or a primarily formed committee to support or oppose a candidate or ballot measure in the 90 days before or on the date of an election.

- Contributions that total in the aggregate \$1,000 or more are made to or received by a state or county political party committee in the 90 days before or on the date of **any** state election.
- Contributions that total in the aggregate \$1,000 or more are made to or received by a candidate in a CalPERS or CalSTRS election in the 90 days before or on the date of the election. The date of a CalPERS or CalSTRS election is the deadline to return ballots.
- A single contribution of \$5,000 or more is received by a state candidate's committee or a state primarily formed ballot measure committee at any time outside the 90-day election cycle.
  - Required of state e-filers only
- Contributions are made by a recipient committee totaling \$5,000 or more to a state ballot measure committee.
  - Required of state e-filers only
  - Complete Parts 1 and 2 of this form
  - Not required when a primarily formed ballot measure committee makes a contribution to another primarily formed committee formed for the same measure or another measure on the same ballot. This exception does not apply to the \$1,000 90-day report noted in the first bullet above. (Refer to FPPC Regulation 18466 for additional information.)

- Contributions totaling \$5,000 or more are made by a recipient committee to support or oppose the **qualification** of a single **local** ballot measure.
  - Complete Parts 1 and 2 of this form
  - Note special filing location below\*

**State Committees - Where to File**

Except as noted below, state committees file Form 497 **electronically** with the Secretary of State. This applies even to committees that have not reached the \$25,000 threshold for filing other reports electronically. No paper copies of this report are required, and no copies are required to be filed with other filing officers.

\*For contributions related to the qualification of local measures, the Form 497 must be filed in the place(s) a primarily formed committee for the local measure is required to file. This Form 497 must be filed by fax, guaranteed overnight delivery, personal delivery or email. Some jurisdictions require electronic submissions. Check with the local elections office.

<sup>1</sup> A measure includes certain LAFCO proceedings.

# 497 24-hour/10-day Contribution Report

## Instructions

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### Local Committees – When a Form 497 is Required

Local committees must file a Form 497 when:

- Contributions that total in the aggregate \$1,000 or more are either:
  - made to a candidate or a primarily formed committee to support or oppose a candidate or ballot measure in the 90 days before or on the date of an election; or
  - received by a candidate or a primarily formed committee to support or oppose a candidate or ballot measure in the 90 days before or on the date of an election.
- Contributions that total in the aggregate \$1,000 or more are made to a state or county political party committee in the 90 days before or on the date of **any** state election.
- Contributions that total in the aggregate \$1,000 or more are made to a candidate in a CalPERS or CalSTRS election in the 90 days before or on the date of the election.
- Contributions totaling \$5,000 or more are made by a recipient committee to support or oppose the **qualification** of a single **local** ballot measure.
  - Complete Parts 1 and 2 of this form
  - Not required to be filed by a committee primarily formed to support or oppose the measure
  - Note special filing location below\*

### Local Committees – Where to File

Local committees file Form 497 at the same location(s) it regularly files campaign statements.

\*For contributions related to the qualification of local measures, the Form 497 must be filed in the place(s) a primarily formed committee for the local measure is required to file.

Regular mail may not be used. The Form 497 must be filed by fax, guaranteed overnight delivery, personal delivery or email. Some jurisdictions require electronic submissions. Check with the local elections office.

# 497 Contribution Report

Amounts may be rounded to whole dollars.

NAME OF FILER		Date of This Filing _____	Date Stamp	CALIFORNIA FORM <b>497</b>
AREA CODE/PHONE NUMBER	I.D. NUMBER (if applicable)	Report No. _____		For Official Use Only
STREET ADDRESS		<input type="checkbox"/> Amendment to Report No. _____ (explain below) No. of Pages _____		
CITY	STATE	ZIP CODE		

## 1. Contribution(s) Received

DATE RECEIVED	FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CONTRIBUTOR CODE*	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	AMOUNT RECEIVED
		<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC		<input type="checkbox"/> Check if Loan  _____ % Provide interest rate
		<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC		<input type="checkbox"/> Check if Loan  _____ % Provide interest rate
		<input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC		<input type="checkbox"/> Check if Loan  _____ % Provide interest rate

Reason for Amendment: \_\_\_\_\_

\* Contributor Codes  
 IND - Individual  
 COM - Recipient Committee (other than PTY or SCC)  
 OTH - Other (e.g., business entity)  
 PTY - Political Party  
 SCC - Small Contributor Committee

**Filing Deadlines:**

**24-Hour Deadline**

Except for the 10-day deadline noted below, the Form 497 is due within 24 hours of making or receiving contributions that total in the aggregate \$1,000 or more.

**Exceptions:**

- Those who receive a late non-monetary or in-kind contribution must file Form 497 within 48 hours of the date the contribution was received.
- Reports due on a weekend or state holiday, other than the weekend before the election, are extended to the next business day.

**10-Business Day Deadline**

- Any of a state candidate's committees or a state primarily formed ballot measure committee that receives a contribution of \$5,000 or more from a single contributor at any time other than during a 90-day election cycle, must file a Form 497 within 10 business days. This applies to **electronic filers only**.
- A state recipient committee that files electronically and makes contributions totaling \$5,000 or more to a state ballot measure committee must file Form 497 within 10 business days. If all required information is reported on a 90-day election cycle report, this 10-business day report is not required.
- A recipient committee that makes contributions totaling \$5,000 or more to support or oppose the **qualification** of a single **local** ballot measure must file Form 497 within 10 business days.

**Other Important Information:**

- Refer to the FPPC filing schedules located at [www.fppc.ca.gov](http://www.fppc.ca.gov), or the local jurisdiction's filing schedule when applicable, for specific filing dates.
- Reportable contributions include monetary and non-monetary contributions, loans, or any combination of monetary and non-monetary contributions and loans, including contributions or loans from a candidate's personal funds to his or her campaign and contributions to a legal defense committee.
- The donor of a non-monetary contribution must notify the recipient of the contribution's value within 24 hours of the date the contribution was made. Notifications due on a weekend or state holiday, other than the weekend before the election, are extended to the next business day.
- Contributions of \$5,000 or more received from a nonrecipient committee require a major donor notification to be sent to the donor.
- The \$1,000 reports are required for contributions that total in the aggregate \$1,000 during the 90-day election cycle. For example, during the 90-day period before an election, a Form 497 is required if a single source made two \$500 contributions to the same candidate.
- Form 497 is not required when a transfer is made between two campaign committees for elective office controlled by the same candidate.

- Contributions listed on Form 497 must also be reported on the next regular campaign statement (Form 450 or 460).

**How to Complete Form 497**

**Report Number:** Provide a unique identifying number on each Form 497 filed. Amendments to a report must show the original report identification number and state the reason for the amendment.

**Date of Election:** If the contribution was made to a city or county committee, you must enter the date of the election.

**Contributions Received:** Complete Part 1.

**Contributions Made:** Complete Part 2.

**Committees required to disclose making contributions of \$5,000 or more (see "When a Form 497 is Required" on previous pages):** Report on Part 1 all contributions of \$100 or more received since the closing date of the last campaign statement (Form 450 or 460) filed. Such contributions are not required to be reported on more than one ballot measure contribution report (Form 497).

This form was prepared by the Fair Political Practices Commission (FPPC). For detailed information on campaign reporting requirements and the Information Practices Act of 1977, see the FPPC Campaign Disclosure Manual for your type of committee. Campaign filing deadlines, forms, and other informational materials are available on the FPPC website ([www.fppc.ca.gov](http://www.fppc.ca.gov)).

Authority cited: Government Code Sections 82036, 84203, 84203.3, 84204.5, 84250 and 85309 and FPPC Regulations 18116 and 18466

# 497 Contribution Report

Amounts may be rounded to whole dollars.

NAME OF FILER		Date of This Filing _____	Date Stamp	CALIFORNIA FORM <b>497</b>
AREA CODE/PHONE NUMBER	I.D. NUMBER ( <i>if applicable</i> )	Report No. _____		For Official Use Only
STREET ADDRESS		<input type="checkbox"/> Amendment to Report No. _____ (explain below)		
CITY	STATE	ZIP CODE	No. of Pages _____	

## 2. Contribution(s) Made

DATE MADE	FULL NAME, STREET ADDRESS AND ZIP CODE OR RECIPIENT (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CANDIDATE AND OFFICE OR MEASURE AND JURISDICTION	AMOUNT OF CONTRIBUTION	DATE OF ELECTION (IF APPLICABLE)

Reason for Amendment: \_\_\_\_\_



# Limitations and Restrictions on Gifts, Honoraria, Travel and Loans

## *A Fact Sheet For*

- Local Elected Officers and Candidates for Local Elective Offices
- Local Officials Specified in Government Code Section 87200
- Judicial Candidates
- Designated Employees of Local Government Agencies

## **California Fair Political Practices Commission**

Toll-free advice line: 1 (866) ASK-FPPC

Email advice: [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)

Web site: [www.fppc.ca.gov](http://www.fppc.ca.gov)

October 2023

# Introduction

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The Political Reform Act<sup>1</sup> (the “Act”) imposes limits on gifts, prohibits honoraria payments, and imposes limits and other restrictions on the receipt of travel payments received by:

- Local elected officers and other local officials specified in Government Code Section 87200,<sup>2</sup> excluding judges;<sup>3</sup>
- Designated employees of local government agencies (i.e., individuals required to file statements of economic interests under a local agency’s conflict of interest code); and
- Candidates<sup>4</sup> for any of these offices or positions and judicial candidates. (Sections 89502 and 89503.)

The Act also imposes limits and other restrictions on personal loans received by certain local officials.

**The gift limit increased to \$590 for calendar years 2023 and 2024. The gift limit in 2022 was \$520.**

This fact sheet summarizes the major provisions of the Act concerning gifts, honoraria, travel, and loans. It contains highlights of the law, but does not carry the weight of law. For more information, contact the Fair Political Practices Commission at (866) 275-3772 or [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov) or visit our website at [www.fppc.ca.gov](http://www.fppc.ca.gov). Commission advice letters are available on our website. Public officials may also be subject to local restrictions on gifts, honoraria, or travel.

## Enforcement

**Failure to comply with the laws related to gifts, honoraria, loans, and travel payments may, depending on the violation, result in criminal prosecution and substantial fines, or in administrative or civil monetary penalties for as much as \$5,000 per violation or three times the amount illegally obtained. (See Sections 83116, 89520, 89521, 91000, 91004 and 91005.5.)**

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<sup>1</sup> The Political Reform Act is contained in Government Code Sections 81000 through 91014. All statutory references are to the Government Code, unless otherwise indicated. The regulations of the Fair Political Practices Commission are contained in Sections 18110 through 18997 of Title 2 of the California Code of Regulations. All regulatory references are to Title 2, Division 6 of the California Code of Regulations, unless otherwise indicated.

<sup>2</sup> Local officials specified in Government Code Section 87200 include: members of boards of supervisors and city councils, mayors, city/county planning commissioners, city/county chief administrative officers, city/county treasurers, district attorneys, county counsels, city managers, city attorneys, court commissioners and public officials who manage public investments.

<sup>3</sup> The gift limits and honoraria ban in the Political Reform Act do not apply to a person in their capacity as judge. However, candidates for judicial offices are subject to the restrictions contained in the Political Reform Act. (Sections 89502 and 89503.)

<sup>4</sup> For purposes of the gift limit and honoraria prohibition, an individual becomes a “candidate” when they file a statement of organization (Form 410) as a controlled committee for the purpose of seeking elective office, a candidate intention statement (Form 501), or a declaration of candidacy, whichever occurs first. If an individual is an unsuccessful candidate, they will no longer be subject to the gift limit and honoraria prohibition when they have terminated their campaign filing obligations, or after certification of election results, whichever is earlier. (Sections 89502(b) and 89503(b).)

# Gifts

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## Limitations

Local elected officers, candidates for local elective office, local officials specified in Government Code Section 87200, and judicial candidates, may not accept gifts from any single source totaling more than \$590 in a calendar year. (Section 89503.)<sup>5</sup>

Employees of a local government agency who are designated in the agency's conflict of interest code may not accept gifts from any single source totaling more than \$590 in a calendar year if the employee is required to report receiving income or gifts from that source on their statement of economic interests (Form 700). (Section 89503(c).)

## What is a "Gift"?

A "gift" is any payment or other benefit that confers a *personal* benefit for which a public official does not provide payment or services of equal or greater value. A gift includes a rebate or discount in the price of anything of value unless the rebate or discount is made in the regular course of business to members of the public. (Section 82028.) (See Regulation 18946 for valuation guidelines.)

Except as discussed below, a public official has "received" or "accepted" a gift when they have actual possession of the gift or when they take any action exercising direction or control over the gift, including discarding the gift or turning it over to another person. This includes gifts that are accepted by someone else on the official's behalf and gifts made to others at the direction of the official. (Regulation 18941.)

## Gifts to Family Members

Under certain circumstances, a gift to an official's family member\* is considered a gift to the official. (Regulation 18943.) When something of value is given to a family member it is presumed to be a gift to the official if: (1) there is no established relationship between the donor and the family member where it would generally be considered appropriate for the family member to receive the gift or; (2) the donor is someone who lobbies the official's agency, is involved in an action before the official's agency in which the official may foreseeably participate, or engage in business with the agency in which the official will foreseeably participate. (Wedding gifts are treated differently, see below.)

\*For purposes of this rule, an official's "family member" includes the official's spouse; registered domestic partner; any minor child of the official who the official can claim as a dependent for federal tax purposes; and a child of the official who is aged 18 to 23 years old, attends school, resides with the official when not attending school, and provides less than one-half of their own support.

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<sup>5</sup> The gift limit is adjusted biennially to reflect changes in the Consumer Price Index. For 2023-2024, the gift limit is \$590. (Section 89503; Regulation 18940.2.) Gifts from a single source aggregating to \$50 or more must be disclosed, and gifts aggregating to \$590 or more during any 12-month period may subject an official to disqualification with respect to the source. (Section 87103(e).) Designated employees should obtain a copy of their conflict of interest code from their agency. Some conflict of interest codes require very limited disclosure of income and gifts. Gifts from sources that are not required to be disclosed on the Form 700 are not subject to the \$590 gift limit but still may subject the public official to disqualification.

## Source of Gift

Under most circumstances, it is clear who the source of a gift is, but if the circumstances indicate that the gift is being provided by an intermediary, the public official must determine both the donor and the intermediary in reporting the gift. Regulation 18945 provides the rules for determining the source of the gift.

## Gifts from Multiple Sources

In determining the cumulative value of any reportable gifts, separate gifts from an individual and an entity that the individual controls must be aggregated as one source to comply with the reporting and limit requirements. For example, separate gifts from the owner of a company and from the company itself would be treated as if from one source if the owner has more than a 50 percent interest in the company, unless the making of the gift was determined by someone else in the company. In that case, the gift from the company would be aggregated with any gifts made by that determining individual. (Regulation 18945.1.)

Group gifts, where a public official receives a single gift from multiple donors (such as a retirement gift from coworkers), need not be reported unless any person contributes \$50 or more to the total cost of the gift. In that case, the public official would only report a gift from each of those persons. (Regulation 18945.2.)

## Valuing Gifts

The general rule for determining the value of a gift is to apply the fair market value at the time the gift is received. Fair market value can be determined by finding any local or internet advertisement for the item. Special exceptions to the fair market value rule are contained in Regulations 18946.1 through 18946.5 which covers admission to ticketed and invitation-only events, wedding gifts, attendance at nonprofit and political fundraisers, and air travel. (Regulation 18946.) For example, for ticketed events, the value is the face value of the ticket.

## General Gift Exceptions

Form 700 Reporting	C/I § 87100	Honoraria Ban	\$590 Gift Limit
No	No	No	No

The following payments are exceptions to the definition of gift and are not considered gifts or income.

- 1. Return or Reimbursement of Gift.** Items that are returned (unused) to the donor, or for which the public official reimburse the donor, within 30 days of receipt. (Section 82028(b)(2); Regulation 18941.)
- 2. Donation of Gift to Nonprofit Group.** Items that are donated (unused) to a non-profit, tax-exempt (501(c)(3)) organization in which the official (or immediate family member) does not hold a position, or to a government agency, within 30 days of receipt without claiming a deduction for tax purposes. (Section 82028(b)(2); Regulation 18941.)
- 3. Gifts from Family.** Gifts from the public official's spouse (or former spouse), child, parent, grandparent, grandchild, brother, sister, current or former parent-in-law, brother-in-law, sister-in-law, aunt, uncle, niece, nephew, or first cousin or the spouse of any such person, unless they are acting as an agent or intermediary for another person who is the true source of the gift. (Section 82028(b)(3); Regulation 18942(a)(3).) This exception includes great grandparents, great uncles and aunts, great nieces and nephews, and first cousins once removed.
- 4. Informational Material.** Informational material provided to assist the public official in the performance of their official duties, including books, reports, pamphlets, calendars, periodicals, videotapes, or free admission or discounts to informational conferences or seminars.

“Informational material” may also include scale models, pictorial representations, maps, and other such items. However, if the item’s fair market value is more than \$590, the public official has the burden of demonstrating that the item is informational. In addition, on-site demonstrations, tours, or inspections, including air flights over an area that is the subject of the information and designed specifically for public officials, are considered informational material. However, this exception does not apply to meals or lodging. Furthermore, the exception generally does not apply to transportation to the site, except for any portion of the transportation that is not commercially available. (Section 82028(b)(1); Regulations 18942(a)(1) and 18942.1.)

**5. Inheritance.** A devise or inheritance. (Section 82028(b)(5); Regulation 18942(a)(5).)

**6. Campaign Contributions.** Campaign contributions to an official, including rebates or discounts received in connection with campaign activities (Section 82028(b)(4); Regulations 18942(a)(4), 18950(a) and 18950.3(a)) and permissible expenditures of campaign funds for campaign-related expenses, including payments for transportation, lodging or food (Regulations 18950(a) and 18950.3(b)), provided they comply and are properly reported in accordance with applicable campaign finance laws.

**7. Plaques.** Personalized plaques and trophies with an individual value of less than \$250. (Section 82028(b)(6); Regulation 18942(a)(6).)

**8. Ceremonial Role.** Free admission to a ticketed event (including any benefits included in the price of the ticket such as a free meal) for the official and one guest at an event where the official performs a ceremonial role, such as throwing out the first pitch at a Dodgers’ game, so long as the official’s agency complies with the posting provisions set forth in Regulation 18944.1(d). (Regulation 18942(a)(13); Regulation 18942.3; also see discussion of Form 802 below under “Gifts Exceptions Requiring Alternate Reporting.”)

**9. Event Where Official Makes a Speech.** Free admission, and food and nominal items (such as a pen, pencil, mouse pad, note pad or similar item) available to all attendees, at the event at which the official makes a speech (as defined in Regulation 18950(b)(2)), so long as the admission is provided by the person who organizes the event. (Regulation 18942(a)(11).)

**10. Attending Wedding Reception.** Benefits received as a guest attending a wedding reception where the benefits are the same as those received by the other guests at the reception. (Regulation 18942(a)(15).)

**11. Bereavement Offerings.** Bereavement offerings, such as flowers at a funeral received in memory of a close family member. (Regulation 18942(a)(16).)

**12. Acts of Neighborliness.** Benefits received as an act of neighborliness such as the loan of an item, an occasional ride, or help with a repair where the act is consistent with polite behavior in a civilized society and would not normally be part of an economic transaction between like participants under similar circumstances. (Regulation 18942(a)(17).)

**13. Campaign or Nonprofit Fundraiser.** Two tickets for admission, for use by only the official and one guest, to attend a fundraiser for a campaign committee or candidate, or to a fundraiser for an organization exempt from taxation under Section 501(c)(3) of the Internal Revenue Code. The ticket(s) must be received from the organization or committee holding the fundraiser. (Regulation 18946.4.)

**14. Unused Passes or Tickets.** Passes or tickets that provide admission or access to facilities, goods, services, or other benefits (either on a one-time or repeated basis) that the public official does not use and do not give to another person. (Regulation 18946.1.)

**15. Items Provided to Government Agency.** Subject to certain conditions, items provided to a government agency and used by public officials in the agency for agency business. This may include

passes or tickets to (see Regulation 18944.1) or payments for other types of items or activities (see Regulation 18944). An agency must disclose specified payments on a form provided by the FPPC and post the form on its website. (See discussion of Forms 801 and 802 below under “Gift Exceptions Requiring Alternate Reporting.”) Contact the FPPC for detailed information.

**16. Emergency Leave Credits.** Leave credits (e.g., sick leave or vacation credits) received under a bona fide catastrophic or emergency leave program established by the public official’s employer and available to all employees in the same job classification or position. Donations of cash are gifts and are subject to limits and disclosure. (Regulation 18942(a)(9).)

**17. Disaster Relief.** Food, shelter, or similar assistance received in connection with a disaster relief program. The benefits must be received from a governmental agency or charity and must be available to the general public. (Regulation 18942(a)(10).)

**18. Agency Raffle.** Items awarded in an agency raffle received by the agency from an employee who is not acting as an intermediary for another donor. This exception applies when an agency holds an employee raffle and the item awarded in the raffle has been obtained with agency funds, or is otherwise an asset of the agency and not donated to the agency by a non-agency source. This exception does not apply to passes or tickets of the type described in Regulation 18944.1. (Regulation 18944.2(a) and (b).)

**19. Employee Gift Exchange.** Items received by an employee during an employee gift exchange, so long as the items received are provided by another employee of the agency and the gifts are not substantially disproportionate in value. (Regulation 18944.2(c).)

### **Limited Gift Exceptions**

Form 700 Reporting	C/I § 87100	Honoraria Ban	\$590 Gift Limit
No	No	No	No

**1. Home Hospitality.** Gifts of hospitality including food, drink or occasional lodging that an official receives in an individual’s home when the individual or a member of their family is present. (Regulation 18942(a)(7).) For this exception to apply, the official must have a relationship, connection or association with the individual providing the in-home hospitality that is unrelated to the official’s position and the hospitality must be provided as part of that relationship. Generally, this means functions like children’s birthday parties, soccer team parties, neighborhood barbeques, etc., where other guests attend who are not part of the lobbying process. (Regulation 18942.2.)

**2. Reciprocal Holiday Gifts.** Gifts commonly exchanged between an official and another individual on holidays, birthdays, or similar occasions to the extent that the gifts exchanged are not substantially disproportionate in value. (Regulation 18942(a)(8)(A).)

**3. Reciprocal Exchanges.** Reciprocal exchanges between an official and another individual that occur on an ongoing basis so long as the total value of payments received by the official within the calendar year is not substantially disproportionate to the amount paid by the official and no single payment is \$590 or more. For example, if two people get together regularly for lunches and rotate picking up the lunch tab so that each pays approximately half the total value over the course of the calendar year, no gift need be reported. (Regulation 18942(a)(8)(B).)

**4. Dating Relationship.** Personal benefits commonly received from a dating partner. These gifts are not disclosable or limited but are subject to disqualification under the conflict of interest laws if the dating partner has certain business before the official as set forth in Regulation 18942(a)(18)(D). (Regulation 18942(a)(18)(A).)

**5. Acts of Human Compassion.** Assistance, financial or otherwise, to offset family medical or living expenses that the official can no longer meet without private assistance because of an accident, illness, employment loss, death in the family, or other unexpected calamity; or to defray expenses associated with humanitarian efforts such as the adoption of an orphaned child, so long as the source of the donation is an individual who has a prior social relationship with the official of the type where it would be common to provide such assistance, or the payment is made without regard to official status under other circumstances in which it would be common to receive community outreach. (Regulation 18942(a)(18)(B).) This exception does not apply if the person providing the benefit to the official is an individual who otherwise has business before the official as set forth in Regulation 18942(a)(18)(D).

**6. Long-Time Friend.** Benefits received from a long-time personal friend where the gift is unrelated to the official's duties. The exception does not apply if the individual providing the benefit to the official is involved in some manner with business before the official. (Regulation 18942(a)(18)(C).) This exception does not apply if the person providing the benefit to the official is an individual who otherwise has business before the official as set forth in Regulation 18942(a)(18)(D).

**7. Existing Personal Relationship.** Benefits received from an individual where it is clear that the gift was made because of an existing personal or business relationship unrelated to the official's position and there is no evidence whatsoever at the time the gift is made that the official makes or participates in the type of governmental decisions that may have a reasonably foreseeable material financial effect on the individual who would otherwise be the source of the gift. (Regulation 18942(a)(19).)

### Very Limited Gift Exception

Reporting	C/I § 87100	Honoraria Ban	\$590 Gift Limit
Yes - ½ value as gift	Yes	No	No

**Wedding Gifts.** Wedding gifts are not subject to the \$590 gift limit. However, wedding gifts are reportable, but for purposes of valuing wedding gifts, one-half of the value of each gift is attributable to each spouse. (Regulation 18946.3.)

### Gift Exceptions Requiring Alternate Reporting

Form 700 Reporting	C/I § 87100	Honoraria Ban	\$590 Gift Limit
Yes - As Income	Yes	No	No

**Prize or Award.** A prize or award received in a bona fide contest or competition, or game of chance. **Note: Unlike the other exceptions, payments that fall into this exception must be reported as income if valued at \$500 or more.** To qualify for this exception the contest or competition must be unrelated to the official's duties. (Regulation 18942(a)(14).)

### Agency Reports

Reporting	C/I § 87100	Honoraria Ban	\$590 Gift Limit
Yes - On 801 or 802	No	No	No

The following exceptions are also applicable to payments made to a government agency that are used by officials in the agency under certain conditions to conduct agency business. These types of payments are not treated as gifts or income to the officials who use them, so long as the payments meet certain conditions and they are reported by the officials' agency. These reports must appear on either a Form 801 or Form 802, instead of the official reporting the items on a statement of economic interests (Form 700).

**Form 801 – Payment to Agency Report:** This form covers gifts or donations made to an agency and used by one or more officials in the agency for agency business. This may include travel payments, reimbursements, or other uses by an official, but does not cover tickets or passes providing admission to an entertainment or sporting event, which are reported on the Form 802 (discussed below). If the payment meets the requirements of Regulations 18944 or 18950.1, the agency must report it on a Form 801 and the item is not reported on the individual's statement of economic interests (Form 700). (Regulations 18944 and 18950.1.)

**Form 802 – Agency Report of Ceremonial Role Events and Ticket/Pass Distributions:** This form covers gifts or donations made to an agency that provide tickets or passes to an agency official for admission to an entertainment or sporting event. For the ticket or pass to be exempt from reporting on the individual's statement of economic interests (Form 700), the agency must have a written policy stating the public purpose for distribution of the tickets. The ticket or pass cannot be earmarked by the original source for use by a particular agency official and the agency must determine, in its sole discretion, which official may use the ticket or pass. (Regulation 18944.1.) The Form 802 is also used to report tickets provided for officials who perform a ceremonial role on behalf of the agency.

### Behested Payments Reports

Reporting	C/I § 87100	Honoraria Ban	\$590 Gift Limit
Yes - Form 803 Behested Payment	No*	No	No*

**Behested Payments.** Generally, payments made at the behest of an official that do not confer a personal benefit on an official, such as those made by a third party to co-sponsor an event, or that are principally legislative, governmental, or charitable in nature, are not gifts. However, when a local elected officer is making the behest, in some cases these payments may be considered “behested payments” under Section 82004.5 and require disclosure by that elected officer.

**\*Note:** when a behested payment *does confer a personal benefit on the official*, the gift limit and conflict of interest rules apply, and the official may have a reportable gift or income in addition to a behested payment reporting duty.

### Form 803 – Behested Payment Report

- Behested payments are reportable if made principally for legislative, governmental, or charitable purposes. These payments are not for campaign purposes and any personal benefit may constitute a gift to the official subject to the applicable gift limit. For example, a local elected official may ask a third party to contribute funds to a school in her district, or to a job fair or health fair. A gift to the official may occur, for example, where the official attends the event and receives a meal without charge.
- Generally, a donation will be “made at the behest” if it is requested, solicited, or suggested by the elected officer or member of the Public Utilities Commission, or otherwise made to a person in cooperation, consultation, coordination with, or at the consent of, the elected officer or PUC member. This includes payments behested on behalf of the official by their agent or employee.
- A behested payment does not include payments to an official from a local, state, or federal government agency for use by the official to conduct agency business. For example, free parking provided by a governmental entity to an official for agency business is not a behested payment and is not subject to reporting.
- Behested payments totaling \$5,000 or more from a single source in a calendar year must be disclosed by the official on a Form 803, which is filed with the official's agency within 30 days of the date of the payment(s). (Section 84224; see Regulations 18424-18424.3.)

# Honoraria

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## What is an “Honorarium”?

An “honorarium” is any payment made in consideration for any speech given, article published, or attendance at any public or private conference, convention, meeting, social event, meal, or like gathering. An honorarium includes gift cards or any gift of more than nominal benefit provided in connection with an activity described above. An honorarium does not include items of nominal value such as a pen, pencil, note pad, or similar item. (Section 89501; Regulation 18932.4(e).)

A “speech given” means a public address, oration, or other form of oral presentation, including participation in a panel, seminar, or debate. (Regulation 18931.1.)

An “article published” means a nonfictional written work: 1) that is produced in connection with any activity other than the practice of a bona fide business, trade, or profession; and 2) that is published in a periodical, journal, newspaper, newsletter, magazine, pamphlet, or similar publication. (Regulation 18931.2.)

“Attendance” means being present during, making an appearance at, or serving as host or master of ceremonies for any public or private conference, convention, meeting, social event, meal, or like gathering. (Regulation 18931.3.)

The Act and Commission regulations provide certain exceptions to the prohibition on honoraria. (Section 89501(b); Regulations 18932 –18933.).

## The Prohibition

Local officials specified in Section 87200 (see page 2) are prohibited from receiving any honoraria payments. Officials and employees of local agencies who file statements of economic interests (Form 700) under the agency’s conflict of interest code (“designated employees”) may not receive honoraria payments from any source if the employee would be required to report income or gifts from that source on the Form 700, as outlined in the “disclosure category” portion of the conflict of interest code. (Section 89502.)

## Honoraria Exceptions that also apply to gifts and income

**1. Returned.** An honorarium that the public official returns (unused) to the donor or the donor’s agent or intermediary within 30 days. (Section 89501(b); Regulation 18933.)

**2. Donated to General Fund.** An honorarium that is delivered to the official’s local agency within 30 days for donation to the agency’s general fund and for which the public official does not claim a deduction for income tax purposes. (Section 89501(b); Regulation 18933.)

**3. Made to Nonprofit Organization.** A payment that is not delivered to the public official but is made directly to a bona fide charitable, educational, civic, religious, or similar tax-exempt, non-profit organization. However:

- The official may not make the donation a condition for their speech, article, or attendance;
- The official may not claim the donation as a deduction for income tax purposes.
- The official may not be identified to the non-profit organization in connection with the donation; and
- The donation may have no reasonably foreseeable financial effect on the public official or on any member of their immediate family. (Regulation 18932.5.)

**4. Payment from Family Member.** A payment received from the public official's spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin, or the spouse of any such person. However, a payment that would be considered an honorarium is prohibited if one of these persons is acting as an agent or intermediary for someone else. (Regulation 18932.4(b).)

**5. Payment for Performance or Book.** Payments received for a comedic, dramatic, musical, or other similar artistic performance, and payments received for the publication of books, plays, or screenplays. (Regulations 18931.1 and 18931.2.)

**6. Reimbursement for Travel Where Official Provides Consideration.** Reimbursements for reasonable travel expenses provided to the public official by a bona fide non-profit, tax-exempt (501(c)(3)) entity for which the public official provides equal or greater consideration. The payment would also be exempt from the definition of income under Section 82030(b)(2). (See discussion under "Travel Payments" below.)

**Honoraria Exceptions where the payment may still be considered income (or a gift, if consideration of equal or greater value is not provided by the official)**

**1. Admission to Event Where Official Gives Speech.** Free admission, and refreshments and similar non-cash nominal benefits, provided to an official during the entire event at which they give a speech, participates in a panel or provides a similar service, and in-California transportation and necessary lodging and subsistence provided directly in connection with the speech, panel or service, including meals and beverages on the day of the activity. (Regulation 18932.4(e).)

**2. Earned Income from a Business.** Income earned and payments for travel made in connection with personal services rendered by the official if the services are provided in connection with a bona fide business, trade, or profession — such as teaching, practicing law, medicine, insurance, real estate, banking, or building contracting — and the services are customarily provided in connection with the business, trade, or profession. (Section 89506(d)(3) and Regulations 18950(a) and 18950.2.)

This exception does not apply if the sole or predominant activity of the business, trade, or profession is making speeches. In addition, the public official must meet certain criteria to establish that they are conducting or in a bona fide business, trade, or profession (such as maintenance of business records, licensure, proof of teaching position) before a payment received for personal services which may meet the definition of honorarium would be considered earned income and not an honorarium. (Section 89501(b); Regulations 18932 –18932.3.) Earned income is required to be reported. Contact the FPPC for detailed information.

**3. Travel from a Government Agency.** Travel payments provided to the public official by their government agency or by any state, local, or federal government agency which would be considered income and not a gift. (Section 89506(d)(2).) See discussion under "Travel Payments" below.

# Travel Payments Exceptions

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Generally, when an official receives a payment (including reimbursement) for their travel, that payment is a reportable gift or income under the Act. The term “travel payment” includes payments, advances, or reimbursements for travel, including actual transportation, parking and related lodging and subsistence. (Section 89506(a).)

If the payment is a gift, it is also normally subject to the Act’s \$590 gift limit. If the payment is income, it may, in some cases, be an honorarium. Whether a payment is a gift or income, the official may be required to disqualify themselves from any decision that will have a foreseeable materially financial effect on the source.

## Certain Travel Payments are not a Gift, Income or Honorarium

Reporting	C/I § 87100	Honoraria Ban	\$590 Gift Limit
No	No	No	No

The following travel payments are not a gift, income or honorarium under the Act and Commission regulations and are thus not reportable, potentially disqualifying, or subject to any of the Act’s gift limits or the honorarium ban.

- 1. Travel from a Non-Reportable Source.** A payment for travel from a source that is not reportable on the official’s statement of economic interests (Form 700) based on the provisions of the conflict of interest code of the official’s agency.
- 2. Travel from Government Agency for Training.** A payment for travel from another local, state, or federal government agency and related per diem expenses when the travel is for education, training or other inter-agency programs or purposes. (Regulation 18950(a) and (c)(2).)
- 3. Sharing a Ride with Another Official.** A payment for travel provided to the official in a vehicle or aircraft owned by another official or agency when each official is traveling to or from the same location for an event as a representative of their respective offices. (Regulation 18950(a) and (c)(3).)
- 4. Certain Travel from a Government Agency or 501(c)(3).** Travel payments provided to the official by any state, local, or federal government agency as part of the official’s employment with that agency or provided to the official by a bona fide non-profit, tax-exempt (501(c)(3)) entity for which the official provides equal or greater consideration. (Section 82030(b)(2).) Any person who claims to have provided consideration has the burden of proving that the consideration received is of equal or greater value.
- 5. Travel for Official Agency Business.** Certain payments made to an agency to cover the travel expenses of an employee who travels in the course of carrying out agency business are not gifts to the official because these payments do not provide a “personal benefit” to the official. For this exception to apply, the agency must report the payment on a Form 801 and the amount and purpose for using the payments are restricted by the provisions set forth in Regulation 18950.1.
- 6. Campaign Contribution.** A payment for travel that constitutes a campaign contribution to an official (Sections 82015, 82028(b)(4); Regulations 18215, 18942(a)(4), 18950(a) and 18950.3(a)), and permissible expenditures of campaign funds for campaign-related travel (Regulations 18950(a) and 18950.3(b)), provided they comply and are properly reported in accordance with applicable campaign finance laws.

**7. Travel Payments Fulfilling Terms of Contract.** Payments made to a governmental entity for travel expenses that are required to fulfill the terms of a contract. Neither the governmental entity nor the public official has a reporting obligation because consideration has been provided. (Section 82028; *Ratto* Advice Letter, No. I-14-057.)

**Certain Travel Payments are Reportable and may Subject the Official to Possible Conflicts of Interest, but are not Subject to the \$590 Gift Limit or Honoraria Ban of the Act.**

Reporting	C/I § 87100	Honoraria Ban	\$590 Gift Limit
Yes	Yes	No	No

**Travel for a Public Purpose Under Section 89506(a).** Any payments for actual transportation expenses and related lodging and subsistence that are made for a purpose reasonably related to: (1) A legislative or governmental purpose, or (2) An issue of state, national, or international policy so long as the travel is either:

(a) *Travel for Speech.* In connection with a speech given by the official and the lodging and subsistence expenses are limited to the day immediately preceding, the day of, and the day immediately following the speech and the travel is within the United States, or

(b) *Travel paid for by government agency or 501(c)(3) organization.* Provided by a government agency or authority, (including a foreign government), a bona fide public or private educational institution as defined in Section 203 of the Revenue and Taxation Code, or a nonprofit organization that qualifies under Section 501(c)(3) of the Internal Revenue Code or a foreign organization that substantially satisfies the criteria of that section.

These payments are still reportable on the Form 700 and may create a conflict of interest issue for the official.

#### **Payments for Travel in Connection with a Business**

Reporting	C/I § 87100	Honoraria Ban	\$590 Gift Limit
Yes - as Income	Yes	No	No

Payments for travel made in connection with personal services rendered by the official if the services are provided in connection with a bona fide business, trade, or profession — such as teaching, practicing law, medicine, insurance, real estate, banking, or building contracting — and the services are customarily provided in connection with the business, trade, or profession. (Section 89506(d)(3) and Regulations 18950(a) and 18950.2.)

# Loans

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Personal loans received by certain local officials are subject to limits and other restrictions, and in some circumstances, a personal loan that is not being repaid or is being repaid below certain amounts may become a gift to the official who received it.

## **Limitations on Loans from Agency Officials, Consultants, and Contractors**

**Officials Must Not Receive Loans from Agency Staff.** If the public official is a local elected officer or an official specified in Section 87200 (see page 2), they may not receive a personal loan that exceeds \$250 at any given time from an officer, employee, member, or consultant of their government agency or an agency over which their agency exercises direction and control. (Section 87460(a) and (b).)

**Officials Must Not Receive Loans from Agency Contractors.** In addition, the public official may not receive a personal loan that exceeds \$250 at any given time from any individual or entity that has a contract with their government agency or an agency over which their agency exercises direction and control. This limitation does not apply to loans received from banks or other financial institutions, and retail or credit card transactions, made in the normal course of business on terms available to members of the public without regard to their official status. (Section 87460(c) and (d).)

## **Loans to Elected Officials Must be in Writing**

In addition to the limitations above, if the public official is elected, they may not receive a personal loan of \$500 or more unless the loan is made in writing and clearly states the terms of the loan. The loan document must include the names of the parties to the loan agreement, as well as the date, amount, interest rate, and term of the loan. The loan document must also include the date or dates when payments are due and the amount of the payments. (Section 87461.)

## **The following loans are not subject to these limits and documentation requirements:**

- 1. Campaign Loans.** Loans received by an elected officer's or candidate's campaign committee.
- 2. Loans from Family Members.** Loans received from the public official's spouse, child, parent, grandparent, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin, or the spouse of any such person unless they are acting as an agent or intermediary for another person not covered by this exemption.

## **Loans as Gifts**

Under the following circumstances, a personal loan received by **any** public official (elected and other officials specified in Section 87200, as well as any other local official or employee required to file statements of economic interests) may become a gift and subject to gift reporting and limitations:

- If the loan has a defined date or dates for repayment and has not been repaid, the loan will become a gift when the statute of limitations for filing an action for default has expired.
- If the loan has no defined date or dates for repayment, the loan will become a gift if it remains unpaid when one year has elapsed from the later of:
  - The date the loan was made;
  - The date the last payment of \$100 or more was made on the loan; or
  - The date upon which the public official has made payments aggregating to less than \$250 during the previous 12 months. (Section 87462.)

**The following loans will not become gifts:**

- A loan made to an elected officer's or candidate's campaign committee. This loan would, however, be a campaign contribution and must be reported accordingly.
- A loan described above on which the creditor has taken reasonable action to collect the balance due.
- A loan described above on which the creditor, based on reasonable business considerations, has not undertaken collection action. (However, except in a criminal action, the creditor has the burden of proving that the decision not to take collection action was based on reasonable business considerations.)
- A loan made to an official who has filed for bankruptcy and the loan is ultimately discharged in bankruptcy.

## **TAB 9—LITERATURE**

## Why Thinking Ahead Is Wise



Understanding public service ethics laws and principles can help you:

- ⇒ Identify and address potential sources of problems before you commit to seeking public office.
- ⇒ Make an informed decision about the particular office you seek.
- ⇒ Make a positive difference in your community by maintaining your community's trust and confidence in your leadership.
- ⇒ Avoid illegal or embarrassing situations that can be personally costly.

Taking the time to acquaint yourself with the relevant laws can go a long way toward helping you avoid future headaches.

## Making the Leap to Public Service:



### What to Know about Ethics Laws Before You Are Elected or Appointed

8/2012

## Thank You for Your Interest in Public Service

As a person considering public office, you face an important decision. Public service offers the opportunity to address real community problems and help shape the community's future.

Public service also requires courage and personal sacrifice. You will be asked to make difficult and sometimes unpopular decisions. Your actions will be scrutinized as never before. The law and the public's expectations are likely to affect what you can do or not do to a greater extent than you are used to—particularly as it relates to ethics.

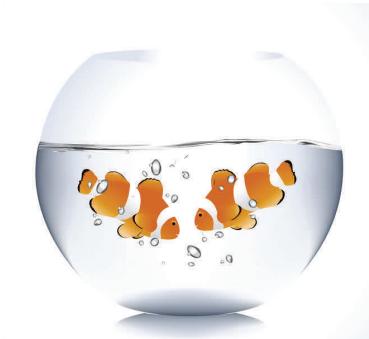
This pamphlet alerts you to issues that can arise under public service ethics laws. Being aware of these issues *before* you seek or assume office helps you determine whether this is the right time in your life for public service.

#### About the Institute for Local Government

The Institute's mission is to promote good government at the local level with practical, impartial and easy-to-use materials. The Institute is the research affiliate of the League of California Cities and the California State Association of Counties.

## Transparency Laws

The public trusts decision-making and other processes that it can observe. Public officials thus operate in a fishbowl than private individuals are accustomed to.



Elements of this fishbowl often include public officials having to:

- Share periodic information about their private financial interests.
- Conduct the public's business in open and publicized meetings at which the public has the right to speak.
- Allow access to agency written information and communications.
- Disclose information about significant (\$5,000 or more) fundraising efforts for worthy causes.

## Fair Process Laws

Other ethics laws are built on the notion public agency decisions should be made on their merits, without favoritism.

This means that public officials:

- Cannot simultaneously hold certain public offices or engage in other outside activities that would subject them to conflicting loyalties.
- Cannot participate in entitlement proceedings on appointed bodies – such as land use permits – involving campaign contributors.
- Cannot solicit campaign contributions of more than \$250 while sitting on appointed bodies from permit applicants while an application is pending and for three months after a decision.
- Cannot participate in quasi-judicial proceedings (when they are applying agency policies to specific situations, such as permit entitlements) in which they have and/or have expressed strong personal or subject matter biases.
- Cannot participate in decisions that will affect their immediate family (defined as spouse/domestic partner or dependent children). (However, an appearance of impropriety may also prevent an officeholder from participating in decision affecting parents, independent children and siblings.)

## Decision-Making in the Public Interest

The notion behind laws prohibiting private financial gain is that public officials' economic interests cannot even *appear* to influence their governmental decisions.

For example, public officials usually:

- Must disqualify themselves from decisions that may affect (positively or negatively) their economic interests; relevant kinds of economic interests include real property, sources of income (such as employers, customers and clients) and investments.
- May not benefit from contracts when the contract comes before their agency for decision.

In addition, promising to take a certain governmental action in exchange for something (including money, gifts or campaign contributions) is a crime.

### The Law is a Floor, Not a Ceiling

Laws are *minimum* standards. The public expects public officials to set their sights well above the minimum standards of the law.

- Cannot ask agency staff for campaign contributions and should not ask staff to support their candidacies.



## Perks of Office

The law strictly limits the degree to which an officeholder can receive benefits relating (or appearing to relate) to his or her status as a public official.

Generally speaking, public officials:

- Receive limited (sometimes no) compensation and expense reimbursement for their public service activities.
- Must disclose gifts (including meals, sporting events, concerts and travel) received of \$50 or more and may not receive gifts aggregating over a certain amount from a single source in a given year. (Note: local regulations may be more restrictive.)
- Cannot be paid for speaking, writing an article or attending a conference.
- Cannot receive loans over \$250 from those within the agency or those who do business with the agency.
- Face severe penalties if they use public resources (including agency staff time and equipment) for either personal or political purposes.

## Determine the Impact of These Laws on You

These laws are extraordinarily complex. For more information about ethics laws in general, visit [www.ca-ilg.org/EthicsLaws](http://www.ca-ilg.org/EthicsLaws).

There are several steps you can take to make a preliminary assessment of how these laws will affect you, based on your activities and assets.

⇒ Step 1: Understand the Duties and Roles of the Office You Seek.

⇒ Step 2: Think About How These Responsibilities Might Affect You.

⇒ Step 3: Determine Whether You Would Benefit from More Information on How the Law Would Affect Your Public Service.

For more information on how to take these steps, visit [www.ca-ilg.org/CandidatePamphlet](http://www.ca-ilg.org/CandidatePamphlet).

Although going through these steps is no substitute for legal advice, doing so will give you a better sense of whether it is realistic for you to serve and what you want to talk with an attorney about.