WRITE-IN CANDIDATE'S GUIDE

TUESDAY, NOVEMBER 3, 2020
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.
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TAB 1—INSTRUCTIONS
General Municipal Election
November 3, 2020

Acknowledgment of Receipt of Written Guidance & Request for Candidate Filing Documents

I have received the instructions for City Council candidate filings for the November 3, 2020, General Municipal Election for the City of Arcata.

I ask that the City of Arcata City Clerk’s Division issue me candidacy papers necessary to file for City Council candidacy.

Office Information

Office sought:     City Council Member

Candidate’s name:                                               

Residential address:                                           

Contact Information

Mailing Address:                                               

Phone number:                                                 

Email address:                                                

Preferred Contact Method:                                      

I wish to receive candidacy papers by (select one of the following options):

_____ Email
_____ Mail
_____ In-Person Appointment at the City Clerk’s Office

Signature: ___________________________ Date:______________

Important: This form must be returned to the City of Arcata City Clerk’s Division before candidacy papers will be issued to the candidate. The candidate may return this signed request form by email, fax, mail, or in person by appointment.
Candidate nomination documents may be obtained in person, via mail, or via email as follows.

1. **Request for Nomination Documents**
   Call or email the City Clerk at (707) 825-2103 or bdory@cityofarcata.org to make an appointment to receive the documents in person. Alternatively, if you choose to receive the documents via mail or email, you must provide the completed Acknowledgment of Receipt of Written Guidance & Request for Candidate Filing Documents (see previous page).

2. **Eligibility Verification**
   Before documents will be issued, the candidate must provide the City Clerk with proof of their age and residence address in order to verify the candidate’s eligibility to run for a seat on the Arcata City Council. This can be done by providing a copy of the candidate’s California Driver’s License or other document showing proof of residency and age. This documentation may be submitted in person, emailed to the City Clerk at bdory@cityofarcata.org or faxed to (707) 822-8018. After verification of eligibility, the candidate will receive a Candidate’s Packet.

3. **Initial Required Documents**
   The candidate must complete and provide to the City Clerk the following documents before they will be issued the Nomination Paper. The documents may be submitted to the City Clerk electronically, but the fully completed, wet-signature original documents must be received by the City Clerk no later than **5:00 p.m., October 20, 2020**. The wet-signature original documents may be submitted during available business hours, by appointment, deposited in one of the water bill drop boxes at City Hall (located next to the mailbox on the F Street side of City Hall or behind City Hall in the parking lot), or via mail or other delivery service.
   
   a. Acknowledgment of Receipt of Written Guidance & Request for Candidate Filing Documents
   b. Signed Documents Receipt for Candidate Nomination Packet
   c. Fair Political Practices Commission Candidate Intention Statement (Form 501)
   d. Ballot Designation Worksheet

4. **The Nomination Paper**
   After receipt of the Nomination Paper, the candidate must execute the Oath or Affirmation of Allegiance on the last page in the presence of a Notary Public, or before the City Clerk or Deputy City Clerk in person or via Zoom Video Communications. The candidate may then begin gathering signatures on the
Nomination Paper. Be sure to follow the instructions in the Letter to Candidates closely to ensure a successful nomination.

5. Submission of Documents and Filing Deadline
After gathering signatures, the candidate may submit their completed documents to the City Clerk electronically. However, in order to be a qualified candidate, completed wet-signature original documents must be **received** by the City Clerk no later than **5:00 p.m., October 20, 2020**. Documents, which if submitted electronically must then be submitted in wet-signature original format, include:

**Required documents:**
- a. Nomination Paper with original signatures
- b. Fair Political Practices Commission Statement of Economic Interests (Form 700)
- c. Form 410 and 460, or 470 required at this time if after September 24, 2020

**Optional documents:**
- a. Code of Fair Campaign Practices

The wet-signature original documents may be submitted during available business hours, by appointment, deposited in one of the water bill drop boxes at City Hall (located next to the mailbox on the F Street side of City Hall or behind City Hall in the parking lot), or via mail or other delivery service. Documents must be **received** by the City Clerk by **5:00 p.m. on October 20, 2020**.

**A candidate who fails to submit wet-signature original documents by 5:00 p.m. on October 20, 2020, cannot be included on the November 3, 2020, general municipal election.**

Please feel free to call the City Clerk at (707) 825-2103 with any questions you may have about this process.
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 3, 2020, 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 CITY COUNCIL ELECTION OF NOVEMBER 3, 2020

INTRODUCTION

The procedures for seeking election to the City Council are defined by state law and published as 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 pursue a write-in candidacy for City Council. As a candidate, it is your responsibility to familiarize yourself with and follow the laws governing elections.

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

The City of Arcata has contribution limitations which are adjusted every election year. For 20 the limitation is $210 as reflected in Ordinance No. 1525.

The Arcata Municipal Code regulates the placement and size 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 questions regarding the election process, please feel free to contact the City Clerk’s office 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 http://www.leginfo.ca.gov/calaw.html.
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.

The nomination period opens at 9:00 a.m. on Tuesday, September 8, 2020. The nomination period closes at 5:00 p.m. on Tuesday, October 20, 2020.

The Fair Political Practices Commission (FPPC) Candidate Intention Statement (Form 501) (Required) will be filed with the elections official when you take out nomination papers. Instructions are included on the Form 501.

This Nomination Paper is important and should be handled very carefully. You must take the Oath or Affirmation of Allegiance before the City Clerk or Deputy, and complete the Affidavit of Nominee on the back page of the Nomination Paper.

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. Only one person can circulate the Nomination Paper. 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 your 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 two Nomination Papers for the full terms of four years as there are only two seats to be filled.

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 may be issued a Supplemental Nomination Paper and will have until the close of the nomination period to gather supplemental signatures. 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 20, 2020:

<table>
<thead>
<tr>
<th>Required</th>
<th>Optional</th>
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</table>
| 1. Completed Nomination Paper, including:  
   a) Candidate’s Personal Information; and  
   b) Declaration of Circulator  
2. Form 700—Statement of Economic Interests  
3. Form 410 and 460, or 470, required at this time if first pre-election filing deadline has passed (September 24, 2020) | 1. Code of Fair Campaign Practices |
At the time of filing an official Nomination Paper, every candidate shall file, as a public record, a Statement of Economic Interests (Form 700) disclosing his/her investments, interest in real property, and income received the 12 months prior to the date of filing. Candidates must complete all schedules of a Form 700. This form is provided as part of the nomination packet.

The candidate or their campaign committee must file an original and one copy of all FPPC forms with the City Clerk on or before the deadline date. The Arcata City Clerk serves only as a filing officer for Fair Political Practices Commission forms. It is your and your committee’s responsibility to ensure that the legal requirements of the Political Reform Act are being met. Violations of the Political Reform Act, including late filing of reports, may result in a fine of $10 per day up to $100.

Any questions concerning the Political Reform Act or an FPPC form should be directed to the FPPC’s Technical Assistance Division: Phone—(866) ASK-FPPC, Fax—(916) 322-3711 or web site www.fppc.ca.gov. The schedule of filing dates is listed below.
<table>
<thead>
<tr>
<th>REQUIRED FORM TO FILE</th>
<th>FILING DEADLINE</th>
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<tbody>
<tr>
<td>Form 700 Statement of Economic Interests</td>
<td>With completed Nomination Paper with signatures, not later than October 20, 2020.</td>
</tr>
<tr>
<td>Form 501 Candidate Intention Statement</td>
<td>Same as above</td>
</tr>
<tr>
<td>Form 410 Statement of Organization</td>
<td>With completed Nomination Paper with signatures, or within 10 days of receiving $2,000 in contributions.</td>
</tr>
<tr>
<td>Form 460 or 470 First Pre-Election Statement</td>
<td>September 24, 2020, or with completed Nomination Paper if after September 24. Covering period from 7/1/20 to 9/19/2020.*</td>
</tr>
<tr>
<td>Form 497 Late Contribution Report</td>
<td>Within 24 hours. File by personal delivery, by telegram, email, guaranteed overnight delivery, facsimile transmission, or online, if available. Covering period 8/5/2020 to 11/3/2020.*</td>
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</tbody>
</table>

* 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.
Candidate’s Name _______________________________       Date of Election:   November 3, 2020

Residence Address:  _________________________________________________________________

Telephone Number: __________________________

Documents Issued

Tab 1—Instructions

☐ Written Guidance to Candidates for Arcata City Council Submission of Nomination Papers
☐ Letter to Candidate
☐ Candidate’s Information Worksheet

Tab 2—Nomination

☐ Ballot Designation Worksheet

Tab 3—Candidate’s Statement

☐ Candidate’s Statement Information Sheet
   (Candidate’s Statement not public record until close of filing).  (Date Turned In: ________)
☐ Candidate’s Statement Template

Tab 4—Fair Campaign Practices

☐ Code of Fair Campaign Practices   (Date Turned In: ________)

Tab 5—Calendar, Membership Information

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

Tab 6—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 7—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 8—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 9—Political Reform Act Requirements

- FPPC Campaign Manual 2
- 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 10—Literature

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

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

Date: _______________________  Signature: ____________________________
TAB 2—NOMINATION
Any voter signing this Nomination Paper for a citywide office MUST be a resident and a registered voter of the city.

We, the undersigned voters, hereby nominate

for the office of

for the City of

to be voted for at the

to be held on Tuesday,

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<th>Name</th>
<th>Residence Address</th>
<th>For Official Use</th>
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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)
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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 104, 10220, 10222)

AFFIDAVIT OF NOMINEE
AND OATH OR AFFIRMATION OF ALLEGIANCE
(on next page)
(A candidate may sign his or her own nomination paper)

CANDIDATE’S PERSONAL INFORMATION

<table>
<thead>
<tr>
<th>Candidate’s name</th>
<th>Day Phone</th>
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<tbody>
<tr>
<td>Candidate’s Residence Address</td>
<td>Evening Phone</td>
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<tr>
<td>Mailing Address (if different than above)</td>
<td>Fax</td>
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<tr>
<th>City</th>
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<th>Email Address</th>
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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 out in your own handwriting.

I, ____________________________, solemnly swear (or affirm) all of the following:

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 ____________________________.

(Election Code §§ 102, 104, 10220, 10222, 10226) (Signature of Circulator)

AFFIDAVIT OF NOMINEE

AND OATH OR AFFIRMATION OF ALLEGIANCE

State of California
County of ____________________________

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

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: ____________________________

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

and that his or her residence address is: ____________________________

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 ____________________________.

(Election Code §§ 200, 10223, 10226, CA Constitution Article XX, § 3) (Signature of Candidate)

* BALLOT DESIGNATION REQUIREMENTS

* 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 papers to which he or she 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 he or she holds at the time of filing the nomination papers, and was elected to that office by a vote of the people, or in the case of a superior or municipal court judge, was appointed to that office.

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. For purposes of this section, all California geographical names shall be considered to be one word. Hyphenated words that appear in any generally available standard reference dictionary, published in the U.S. at any time within the 10 calendar years immediately preceding the election for which the words are counted, shall be considered as one word. Each part of all other hyphenated words shall be counted as a separate word. The use of the word "Retired" by itself or as a prefix is acceptable, but not after any other word or words (e.g. "Retired" and "Retired Army OI is permissible; "U.S.M.C., Retired" is not).

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.
CODE OF FAIR CAMPAIGN PRACTICES

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.

____________________________________________   _________________________
Signature       Date

_____________________________________________ ________________________
Printed Name       Date of Election

2016
TAB 4—CALENDAR, MEMBERSHIP INFORMATION
## Election Calendar

**November 3, 2020**

<table>
<thead>
<tr>
<th>First Day</th>
<th>Last Day</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>8/5/2020</td>
<td>11/3/2020</td>
<td>Deadline to file <strong>24-Hour Contributions Reports</strong>. Contributions that total in the aggregate $1,000 or more within 90 days before election must be filed within 24 hours of activity. Can be filed in person, by email, by overnight, or by fax. (90 days before to Election Day) (GC 84203, 84204)</td>
</tr>
<tr>
<td>9/8/2020*</td>
<td>10/20/2020</td>
<td>Filing period for <strong>Nomination Papers for Write-in candidates</strong>. (57 days to 14 days before)(EC 8601)</td>
</tr>
<tr>
<td></td>
<td>9/24/2020</td>
<td>Deadline to file <strong>Campaign Expenditure Statements</strong>—1st Pre-Election Statement for period ending 9/19/2020. (GC 84200.7)</td>
</tr>
<tr>
<td></td>
<td>10/22/2020</td>
<td>Deadline to file <strong>Campaign Expenditure Statements</strong>—2nd Pre-Election Statement for period ending 17 days before election. (12 days before)(GC 84200.8)</td>
</tr>
<tr>
<td>8/5/2020</td>
<td>11/3/2020</td>
<td><strong>Late Contributions and Independent Expenditure Reports.</strong> Late Contribution and Independent Expenditures of $1,000 or more must be filed within 24 hours of activity. Can be filed in person, by email, by overnight, or by fax. (11 days before to Election Day) (GC 84203, 84204)</td>
</tr>
</tbody>
</table>
|                 | 11/3/2020     | **ELECTION DAY**  
   *(1st Tuesday after 1st Monday in November of even-numbered years)*

City Council to adopt resolution stating official election results. New City Council members to be installed. Election of Mayor and Vice Mayor. Regional Liaison Appointments Give them Form 700 to complete.  
(Thursday after 2nd Wednesday in December [EC 15400; AMC 2020])

|                 | 12/10/2020    | Last day to file **Assuming Office and Leaving Office Statement of Economic Interests** for incoming and outgoing Councilmembers. (30 days after installation) |
|                 | 1/11/2021*    | Last day to file **Campaign Expenditure Statements**—Semi-Annual Statement. For period ending 12/31/2020.  
   [GC 84200(b)] |
|                 | 2/1/2021*     | |
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 $735.50 per month, and also 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
- Humboldt County Indian Gaming Local Community Benefit Committee
- League of California Cities, Redwood Empire Division, Legislative Committee Representative
- HSU/City Liaisons
- Arcata Chamber of Commerce
- Arcata Main Street
- Arcata House Partnership
- Arcata/Camoapa Sister City Committee

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

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 13, 2020. 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 7, 2020.
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

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. 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](http://www.dot.ca.gov) 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”

<table>
<thead>
<tr>
<th>Communication</th>
<th>Disclosure and Manner of Display</th>
</tr>
</thead>
<tbody>
<tr>
<td>All mass mailings – more than 200 substantially</td>
<td>• <strong>Candidate’s committee name and address</strong> (on file with Form 410) on outside of mailing (if no Form 410 on file, use candidate’s name and address)</td>
</tr>
<tr>
<td>similar pieces of mail sent within a calendar</td>
<td>• “Paid for by” 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</td>
</tr>
<tr>
<td>month</td>
<td>• If sent by more than one candidate or committee:</td>
</tr>
<tr>
<td></td>
<td>o Also on at least one insert in the mailing</td>
</tr>
<tr>
<td></td>
<td>• No less than 6-point type and in a contrasting print or color</td>
</tr>
<tr>
<td></td>
<td>• Return envelopes (if included in solicitation) – committee’s name, address and ID number are recommended but not required</td>
</tr>
<tr>
<td>All mass electronic mail – more than 200</td>
<td>• “Paid for by [name of candidate or committee]” must be in at least the same size font as a majority of the text (no address is required on mass electronic mailings)</td>
</tr>
<tr>
<td>substantially similar emails sent within a</td>
<td></td>
</tr>
<tr>
<td>calendar month</td>
<td></td>
</tr>
<tr>
<td>Newspaper ads</td>
<td>• Refer to the Elections Code for newspaper ad disclosure requirements</td>
</tr>
</tbody>
</table>
## Candidate Committee Communications for their own Election

<table>
<thead>
<tr>
<th>Communication</th>
<th>Disclosure and Manner of Display</th>
</tr>
</thead>
</table>
| **Telephone calls advocating candidate's own election** - 500 or more calls similar in nature and made by:  
  - Vendors (“robo” calls); or  
  - Paid individuals other than the candidate, campaign manager or volunteers |  
  - Must identify the candidate’s committee that authorized or paid for the call or an organization authorizing the call that files campaign reports  
  - Must state that the call is “paid for by” or “authorized by” the identified candidate or organization  
    - *Examples: This call was paid for by Senator Jones; This call was authorized by [name of committee]*  
  - Any time during the call  
  - No ID required on telephone calls personally dialed by candidate, campaign manager or volunteers |

| **Radio and television ads** |  
| Radio: “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  
Television: “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. |
# Candidate Committee Communications for their own Election

<table>
<thead>
<tr>
<th>Communication</th>
<th>Disclosure and Manner of Display</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Electronic media ads (non-social media)</strong></td>
<td>• “Paid for by committee name” and committee ID number are recommended but not legally required</td>
</tr>
<tr>
<td>(Websites, blogs, graphics, images, animated graphics, or animated images.)</td>
<td></td>
</tr>
<tr>
<td><strong>Social media ads</strong></td>
<td>• “Ad paid for by,” disclosure in a contrasting color that is easily readable by the average viewer and in no less than 10-point font on the cover or header photo committee's profile, landing page, or similar location; disclosures are not required on each individual post or comment.</td>
</tr>
<tr>
<td></td>
<td>• The disclosures must be visible on the cover or header photo when the profile, landing page, or similar location is viewed from any electronic device that is commonly used to view this form of electronic media including, but not limited to, a computer screen, laptop, tablet or smart phone. If this is impracticable only a hyperlink, icon, button, or tab to an internet website containing the required “Ad paid for by,” disclosure is permissible.</td>
</tr>
<tr>
<td></td>
<td>• Not required when the only expense or cost of the communication is compensated staff time unless the social media account was created only for the purpose of ads under the Act.</td>
</tr>
<tr>
<td><strong>Billboards, signs (including yard signs), faxes, business cards, door hangers, flyers, and posters</strong></td>
<td>• “Paid for by committee name” and committee ID number are recommended but not legally required</td>
</tr>
</tbody>
</table>
Candidate Committee Communications for their own Election

<table>
<thead>
<tr>
<th>Communication</th>
<th>Disclosure and Manner of Display</th>
</tr>
</thead>
<tbody>
<tr>
<td>Text messages sent using mass distribution technology</td>
<td>• “Paid for by” or “With” followed by the name of the candidate followed by “For” followed by the name of the office sought.</td>
</tr>
<tr>
<td></td>
<td>• If “With” is used:</td>
</tr>
<tr>
<td></td>
<td>• The individual sending the text shall identify themselves by including: “(name of the individual) with (name of the candidate) for (name of elective office.)”</td>
</tr>
<tr>
<td></td>
<td>• 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.</td>
</tr>
<tr>
<td></td>
<td>• 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.</td>
</tr>
<tr>
<td></td>
<td>• 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.</td>
</tr>
</tbody>
</table>

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.

References: Government Code Sections: 82041.5, 84305, 84310, 84502, 84504.2, 84504.3, 84504.4  
Title 2 Regulations: 18435, 18450.4, 18440
TAB 6—CONFLICT OF INTEREST
2019-2020
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 3000 • Sacramento, CA 95811
Email Advice: 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

December 2019
WHEN IS THE ANNUAL STATEMENT DUE?

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

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

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
- (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.
What's New

Gift Limit Increase
The gift limit increased to $500 for calendar years 2019 and 2020.

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.
- Members of newly created boards and commissions not yet covered under a conflict of interest code
- Employees in newly created positions of existing agencies

For more information, see Reference Pamphlet, page 3, at 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 Boards and Commissions of Newly Created Agencies: File with your newly created agency or with your agency’s code reviewing body.

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 with your local elections office.

How to file:
The Form 700 is available at www.fppc.ca.gov. Form 700 schedules are also available in Excel format. All statements must have an original “wet” signature or be duly authorized by your filing officer to file electronically under Government Code Section 87500.2.

When to file:

Annual Statements
- March 2, 2020
  - Elected State Officers
  - Judges and Court Commissioners
  - State Board and State Commission Members listed in Government Code Section 87200
- April 1, 2020
  - Most other filers

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

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, 2019, and December 31, 2019, and filed an assuming office statement, you are not required to file an annual statement until March 2, 2021, or April 1, 2021, whichever is applicable. The annual statement will cover the day after you assumed office through December 31, 2020. (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. Obtain amendment schedules at 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 she 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, 2019, through December 31, 2019. If the period covered by the statement is different than January 1, 2019, through December 31, 2019, (for example, you assumed office between October 1, 2018, and December 31, 2018 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 2019.

- 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, 2019, through the date you stopped performing the duties of your position. If the period covered differs from January 1, 2019, through the date you stopped performing the duties of your position (for example, you assumed office between October 1, 2018, and December 31, 2018, 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 2019.

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.

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

COVER PAGE

A PUBLIC DOCUMENT

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

☐ Multi-County ___________________________

☐ City of ___________________________

☐ County of ___________________________

☐ Other ___________________________

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

☐ Annual: The period covered is January 1, 2019, through December 31, 2019.

- or -

The period covered is _____/____/_______, through December 31, 2019.

☐ Assuming Office: Date assumed _____/____/_______

☐ Leaving Office: Date Left _____/____/_______

☐ The period covered is January 1, 2019, through the date of leaving office.

- 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 (must complete)   ► 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  STREET  CITY  STATE  ZIP CODE

(Business or Agency Address Recommended - Public Document)

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 ___________________________ Signature ___________________________

(month, day, year) (File the originally signed paper statement with your filing official.)
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 statements with each agency. To simplify your filing obligations, you may complete an expanded statement.
  - To do this, enter the name of the other agency(ies) with which you are required to file and your position title(s) in the space provided. **Do not use acronyms.** Attach an additional sheet if necessary. Complete one statement covering the disclosure requirements for all positions. Each copy must contain an original signature. Therefore, before signing the statement, make a copy for each agency. Sign each copy with an original signature and file with each agency.

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 his or her 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 Placer and Yuba counties. Brian will complete one Form 700 using full disclosure (as required for the city position) and covering interests in both Placer and Yuba counties (as required for the multi-county position) and list both positions on the Cover Page. Before signing the statement, Brian will make a copy and sign both statements. One statement will be filed with City of Lincoln and the other will be filed with Camp Far West Irrigation District. Both will contain an original signature.

**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.

<table>
<thead>
<tr>
<th>Office, Agency, or Court</th>
<th>Agency name</th>
<th>Board Name</th>
<th>Year</th>
<th>Position</th>
</tr>
</thead>
<tbody>
<tr>
<td>Feather River Irrigation District</td>
<td>N/A</td>
<td>Board Member</td>
<td>N/A</td>
<td>Board Member</td>
</tr>
</tbody>
</table>

**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 2019 annual statement, **do not** change the pre-printed dates to reflect 2020. Your annual statement is used for reporting the previous year’s economic interests. Economic interests for your annual filing covering January 1, 2020, through December 31, 2020, will be disclosed on your statement filed in 2021. See Reference Pamphlet, page 4.

Combining Statements: Certain types of statements 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. All statements must have an original “wet” signature or be duly authorized by your filing officer to file electronically under Government Code Section 87500.2. **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.*

### NAME OF BUSINESS ENTITY

<table>
<thead>
<tr>
<th>GENERAL DESCRIPTION OF THIS BUSINESS</th>
</tr>
</thead>
</table>

### 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:**

| / / 19 | / / 19 |

| 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:**

| / / 19 | / / 19 |

| 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:**

| / / 19 | / / 19 |

| 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
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**IF APPLICABLE, LIST DATE:**

| / / 19 | / / 19 |

| 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:**

| / / 19 | / / 19 |

| ACQUIRED | DISPOSED |

Comments:
“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
- Insurance policies
- Annuities
- Commodities
- Shares in a credit union
- Government bonds (including municipal bonds)
- 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.
- 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. His conflict of interest code requires full disclosure of investments. Frank must disclose his 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 his spouse or registered domestic partner and dependent children.

Alice Lance is a city council member. She 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.

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

#### 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:**
- / / 19
- / / 19

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

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

- None
- 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:**
- / / 19
- / / 19

**ACQUIRED**
**DISPOSED**

**NATURE OF INTEREST**
- Property Ownership/Deed of Trust
- Stock
- Partnership

- Leasehold
- Other

- Yrs. remaining

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

#### Comments:

---

**CALIFORNIA FORM 700**
FAIR POLITICAL PRACTICES COMMISSION

Name

---

FPCC Form 700 - Schedule A-2 (2019/2020)
advice@fpcc.ca.gov • 866-275-3772 • www.fppc.ca.gov
Page - 9
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**

(Including Rental Income)

<table>
<thead>
<tr>
<th>CITY</th>
</tr>
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</table>

<table>
<thead>
<tr>
<th>FAIR MARKET VALUE</th>
<th>IF APPLICABLE, LIST DATE:</th>
</tr>
</thead>
<tbody>
<tr>
<td>$2,000 - $10,000</td>
<td>/ / 19 ACQUIRED / / 19 DISPOSED</td>
</tr>
<tr>
<td>$10,001 - $100,000</td>
<td>/ / 19 ACQUIRED / / 19 DISPOSED</td>
</tr>
<tr>
<td>$100,001 - $1,000,000</td>
<td>/ / 19 ACQUIRED / / 19 DISPOSED</td>
</tr>
<tr>
<td>Over $1,000,000</td>
<td>/ / 19 ACQUIRED / / 19 DISPOSED</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NATURE OF INTEREST</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Ownership/Deed of Trust</td>
<td>Easement</td>
</tr>
<tr>
<td>Leasehold</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Years remaining</th>
<th>Other</th>
</tr>
</thead>
</table>

**IF RENTAL PROPERTY, GROSS INCOME RECEIVED**

<table>
<thead>
<tr>
<th>$0 - $499</th>
<th>$500 - $1,000</th>
<th>$1,001 - $10,000</th>
</tr>
</thead>
<tbody>
<tr>
<td>$10,001 - $100,000</td>
<td>OVER $100,000</td>
<td></td>
</tr>
</tbody>
</table>

**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

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* 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:

<table>
<thead>
<tr>
<th>NAME OF LENDER*</th>
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<table>
<thead>
<tr>
<th>ADDRESS (Business Address Acceptable)</th>
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<table>
<thead>
<tr>
<th>BUSINESS ACTIVITY, IF ANY, OF LENDER</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>INTEREST RATE</th>
<th>TERM (Months/Years)</th>
</tr>
</thead>
<tbody>
<tr>
<td>%</td>
<td>None</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>HIGHEST BALANCE DURING REPORTING PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>$500 - $1,000</td>
</tr>
<tr>
<td>$10,001 - $100,000</td>
</tr>
</tbody>
</table>

<table>
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<tr>
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</thead>
</table>

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<tr>
<th>INTEREST RATE</th>
<th>TERM (Months/Years)</th>
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<tbody>
<tr>
<td>%</td>
<td>None</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>HIGHEST BALANCE DURING REPORTING PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>$500 - $1,000</td>
</tr>
<tr>
<td>$10,001 - $100,000</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Guarantor, if applicable</th>
</tr>
</thead>
</table>

Comments:
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, 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 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, she received rental income of $12,000, from a single tenant who rented property she 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.

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?
# SCHEDULE C

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

## 1. INCOME RECEIVED

<table>
<thead>
<tr>
<th>NAME OF SOURCE OF INCOME</th>
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</thead>
<tbody>
<tr>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>ADDRESS (Business Address Acceptable)</th>
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</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>BUSINESS ACTIVITY, IF ANY, OF SOURCE</th>
</tr>
</thead>
<tbody>
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<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>YOUR BUSINESS POSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>GROSS INCOME RECEIVED</th>
</tr>
</thead>
<tbody>
<tr>
<td>$500 - $1,000</td>
</tr>
<tr>
<td>$1,001 - $10,000</td>
</tr>
<tr>
<td>$10,001 - $100,000</td>
</tr>
<tr>
<td>OVER $100,000</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CONSIDERATION FOR WHICH INCOME WAS RECEIVED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salary</td>
</tr>
<tr>
<td>Spouse’s or registered domestic partner’s income</td>
</tr>
<tr>
<td>(For self-employed use Schedule A-2.)</td>
</tr>
<tr>
<td>Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.)</td>
</tr>
<tr>
<td>Sale of (Real property, car, boat, etc.)</td>
</tr>
<tr>
<td>Loan repayment</td>
</tr>
<tr>
<td>Commission or Rental Income, list each source of $10,000 or more</td>
</tr>
<tr>
<td>Other (Describe)</td>
</tr>
</tbody>
</table>

## 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:

<table>
<thead>
<tr>
<th>NAME OF LENDER*</th>
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<tbody>
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<td></td>
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<table>
<thead>
<tr>
<th>ADDRESS (Business Address Acceptable)</th>
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<table>
<thead>
<tr>
<th>BUSINESS ACTIVITY, IF ANY, OF LENDER</th>
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</table>

<table>
<thead>
<tr>
<th>HIGHEST BALANCE DURING REPORTING PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>$500 - $1,000</td>
</tr>
<tr>
<td>$1,001 - $10,000</td>
</tr>
<tr>
<td>$10,001 - $100,000</td>
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<tr>
<td>OVER $100,000</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>INTEREST RATE</th>
<th>TERM (Months/Years)</th>
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<tbody>
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</table>

<table>
<thead>
<tr>
<th>SECURITY FOR LOAN</th>
</tr>
</thead>
<tbody>
<tr>
<td>None</td>
</tr>
<tr>
<td>Personal residence</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Real Property</th>
<th>Street address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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<table>
<thead>
<tr>
<th>City</th>
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<td></td>
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<table>
<thead>
<tr>
<th>Guarantor</th>
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<tbody>
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<td></td>
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<table>
<thead>
<tr>
<th>Other</th>
<th>(Describe)</th>
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</thead>
<tbody>
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</tbody>
</table>

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.)

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.

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.
# SCHEDULE D  
**Income – Gifts**

## NAME OF SOURCE (Not an Acronym)

<table>
<thead>
<tr>
<th>ADDRESS (Business Address Acceptable)</th>
</tr>
</thead>
</table>

| BUSINESS ACTIVITY, IF ANY, OF SOURCE |

<table>
<thead>
<tr>
<th>DATE (mm/dd/yy)</th>
<th>VALUE</th>
<th>DESCRIPTION OF GIFT(S)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
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</table>

## NAME OF SOURCE (Not an Acronym)

<table>
<thead>
<tr>
<th>ADDRESS (Business Address Acceptable)</th>
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| BUSINESS ACTIVITY, IF ANY, OF SOURCE |

<table>
<thead>
<tr>
<th>DATE (mm/dd/yy)</th>
<th>VALUE</th>
<th>DESCRIPTION OF GIFT(S)</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

## NAME OF SOURCE (Not an Acronym)

<table>
<thead>
<tr>
<th>ADDRESS (Business Address Acceptable)</th>
</tr>
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</table>

| BUSINESS ACTIVITY, IF ANY, OF SOURCE |

<table>
<thead>
<tr>
<th>DATE (mm/dd/yy)</th>
<th>VALUE</th>
<th>DESCRIPTION OF GIFT(S)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

## NAME OF SOURCE (Not an Acronym)

<table>
<thead>
<tr>
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</table>

| BUSINESS ACTIVITY, IF ANY, OF SOURCE |

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<th>VALUE</th>
<th>DESCRIPTION OF GIFT(S)</th>
</tr>
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</tbody>
</table>

## Comments:


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

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.

Reminders
- Gifts from a single source are subject to a $500 limit in 2019. (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.

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.
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

Comments: ___________________________
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 her 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 she is not providing services are likely considered gifts. Note that the same payment from a 501(c)3 would NOT be reportable.

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 his 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.)
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 personal assets and income. They also must disqualify themselves from participating in decisions that may affect their personal economic interests. 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 law’s provisions.

Gift Prohibition
Gifts received by most state and local officials, employees, and candidates are subject to a limit. In 2019-2020, the gift limit is $500 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.

Honorary 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.
• 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

**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 complete one statement listing the county and the two boards on the Cover Page or an attachment as the agencies for which you will be filing. Report your economic interests using the largest jurisdiction and highest disclosure requirements assigned to you by the three agencies. Make two copies of the entire statement before signing it, sign each copy with an original signature, and distribute one original to the county and to each of the two boards. 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.

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.
Questions and Answers
Continued

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. 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. (See Reference Pamphlet, page 14.)

Income Disclosure

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. 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.
Questions and Answers
Continued

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 husband is a partner in a four-person firm where all of his business is based on his 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 husband’s investment in the firm is 10% or greater, disclose 100% of his share of the business income on Schedule A-2, Part 1 and 50% of his income on Schedule A-2, Parts 2 and 3. For example, a client of your husband’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 real property for you.

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 2019 the gift limit was $500, so the Bensons may have given the supervisor artwork valued at no more than $1,000. 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.
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 his or her 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.
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 various positions for which the Form 700 is required, is a statement required for each position?
   A. Yes. However, one expanded statement covering the disclosure requirements for all positions may be completed as long as an originally signed statement is filed with each filing officer.

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 his or her community property share (50%) of his or her 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 and his or her spouse have a legally separate property agreement (e.g., prenuptial), must the official still report his or her community property share (50%) in his or her spouse’s income?
    A. No. If there is a legally separate property agreement, the official is not required to report his or her community property share in his or her 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 his or her 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.

11. 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)

12. 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.

13. Q. An official owns a rental property that he or she is 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

14. 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.

15. 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 (EFT) are not required to be disclosed if the fund meets the specific criteria outlined in Regulation 18237. An official may need to contact his or her account manager for assistance in determining what assets are held in the account.

16. Q. If an official reported stocks that were acquired last year on his or her 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.
17. 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.)

18. 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).

**Real Property Questions**

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

A. Generally, any personal residence occupied by an official or his or her 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.

20. 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.

21. 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

22. 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. 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. If an individual does not pay a fine, the matter may be referred to the Franchise Tax Board for collection.

Gift/Travel Questions

23. Q. What is the gift limit for 2019-2020?

   A. $500: This means that gifts from a single, reportable source, other than a lobbyist or lobbying firm (see below), may not exceed $500 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 $500 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.

24. 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.

25. 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.

26. 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.
27. 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.

28. Q. If an official makes a speech related to national public policy and his or her spouse attends the dinner at the event, is the spouse’s meal considered a gift to the official?

Yes. The official’s meal is not a reportable gift; however, his or her spouse’s meal is a gift and reportable on the official’s Form 700 if the value is $50 or more.

29. 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.

30. 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.

31. 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.

32. 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 he or she shares the gift with other agency employees.

33. 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.
34. 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.

35. Q. Is a ticket provided to an official for his or her admission to an event at which the official performs a ceremonial role or function on behalf of his or her 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.”)

36. 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.

37. 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.

38. 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.
39. 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.

40. 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.

41. 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.)

42. 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 his or her agency’s conflict of interest code.
43. 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 change, 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

44. 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 his or her guest attending the event, without a reporting obligation by either the official or the guest.

45. 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 his or her own use directly from the 501(c)(3) organization and it is for the organization’s fundraising event.

46. 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.

47. 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.
48. 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.

49. 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 his or her 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.

50. 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.

51. 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.

52. 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.

53. 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.
ARTICLE 1—CITY COUNCIL

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)

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 four hundred sixty dollars ($460) 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.

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)

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:

<table>
<thead>
<tr>
<th>Position</th>
<th>Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>City Engineer</td>
<td>1, 2</td>
</tr>
<tr>
<td>Director of Community Development</td>
<td>1, 2</td>
</tr>
<tr>
<td>Director of Environmental Services</td>
<td>1, 2</td>
</tr>
<tr>
<td>Deputy Director of Community Development</td>
<td>1, 2</td>
</tr>
<tr>
<td>Deputy Director of Environmental Services—Community Services</td>
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<tr>
<td>Deputy Director of Environmental Services—Streets/Utilities</td>
<td>1, 2</td>
</tr>
<tr>
<td>Police Chief</td>
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<tr>
<td>Assistant City Manager/Personnel Director</td>
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<tr>
<td>Information Technology Manager</td>
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<tr>
<td>Assistant City Engineer</td>
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<td>Building Official</td>
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<tr>
<td>Transportation Superintendent</td>
<td>2, 3, 4</td>
</tr>
</tbody>
</table>

(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)

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)

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 ten dollars ($210.00) in 2020.

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 ten dollars ($210.00), 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-ten-dollar ($210.00) 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 contendere 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.


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.

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. 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 BASICS
For candidates spending $2,000 or more

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
• (866) 275-3772 Mon- Thurs, 9-11:30 a.m.
☐ 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.
Additional Resources and Helpful Links

- FPPC Campaign Manual 2 for Local Candidates and their Controlled Committees
- FPPC Campaign Forms
- FPPC Filing Schedules
- FPPC Fact Sheet on Terminating Your Committee
- FPPC Political Advertisement Disclaimers for Candidate Committees for their own Election
- FPPC Frequently Asked Questions on Campaign Activity
- Local Campaign Ordinances

Have Further Questions?

Feel free to contact us by email at 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.
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.

### 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, his or her 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. 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 his or her 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 in the aggregate $1,000 or more 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 2020” or “Re-Elect Rosa in 2020 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.

**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, non-monetary, 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 her home for a friend who is running for city council. She will spend $425 to provide tea, coffee, wine, cheese, and fruit. Is the amount she pays for the event considered a nonmonetary contribution to the candidate?
   
   A. No. So long as she 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. No. Contributions may not be made or received in cryptocurrency.

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 her compensated time working on one measure and seven percent of her compensated time on the other measure. Since more than 10 percent of her compensated time was not spent on a single campaign, is her compensated time required to be reported as a nonmonetary contribution to the ballot measure committees from her employer?
   
   A. Yes. If an employee spends more than 10 percent of his or her 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 her 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 he or she 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 2020”).

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 his or her 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 here.

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 his or her 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, he or she makes a contribution of $1,000 or more from personal funds to his or her 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.

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 his or her personal funds on his or her 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 he or she spends $2,000 or more on the campaign (not counting personal funds spent on filing fees and ballot statement fees), he or she qualifies 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 his or her 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 he or she 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 his 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. The Act does not impose contribution limits on local elections. 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 his or her 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 his or her 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 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 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.)

   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 his or her 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 his or her election to office. (See Regulation 18405.)
56. Q. May a law enforcement officer, who is running for city council, wear his or her uniform at campaign events or when appearing in political advertisements for his or her 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 his or her 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 his or her 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.
# Campaign Filing Schedule

## Candidates and Controlled Committees for Local Office
Listed on the November 3, 2020 Ballot

## Deadline Schedule

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<th>Period</th>
<th>Form</th>
<th>Notes</th>
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<tr>
<td><strong>July 31, 2020</strong></td>
<td>* – 6/30/20</td>
<td>460 or 470</td>
<td><strong>460:</strong> All committees must file Form 460.</td>
</tr>
<tr>
<td>Semi-Annual</td>
<td></td>
<td></td>
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<tr>
<td><strong>Within 24 Hours Contribution Reports</strong></td>
<td>8/5/20 – 11/3/20</td>
<td>497</td>
<td><strong>File if a contribution of $1,000 or more in the aggregate is received from a single source.</strong>&lt;br&gt;<strong>File if a contribution of $1,000 or more in the aggregate is made to or in connection with another candidate or measure being voted upon November 3, 2020.</strong>&lt;br&gt;<strong>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.</strong>&lt;br&gt;<strong>File by personal delivery, e-mail, guaranteed overnight service, or fax. The committee may also file online, if available.</strong></td>
</tr>
<tr>
<td><strong>Sept 24, 2020</strong></td>
<td>7/1/20 – 9/19/20</td>
<td>460 or 470</td>
<td><strong>Each candidate listed on the ballot must file Form 460 or Form 470 (see below).</strong></td>
</tr>
<tr>
<td>1st Pre-Election</td>
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<tr>
<td><strong>Oct 22, 2020</strong></td>
<td>9/20/20 – 10/17/20</td>
<td>460</td>
<td><strong>All committees must file this statement.</strong>&lt;br&gt;<strong>File by personal delivery or guaranteed overnight service. The committee may also file online, if available.</strong></td>
</tr>
<tr>
<td>2nd Pre-Election</td>
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<tr>
<td><strong>Feb 1, 2021</strong></td>
<td>10/18/20 – 12/31/20</td>
<td>460</td>
<td><strong>All committees must file Form 460 unless the committee filed termination Forms 410 and 460 before Dec 31, 2020.</strong></td>
</tr>
<tr>
<td>Semi-Annual</td>
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### 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.
- **Form 460:** Candidates who have raised/spent $2,000 or more file the 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 2020 and do not have an open committee must file Form 470 on or before September 24, 2020. If, later during the calendar year, the candidate raises or spends $2,000 or more, 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:
  
  o **462:** This form must be e-mailed to the FPPC within 10 days.
  
  o **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.

• **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 are public documents.

• **Resources:** Campaign manuals and other instructional materials are available [here](https://www.fppc.ca.gov). Or, visit www.fppc.ca.gov > Learn > Campaign Rules.
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Appendix – About the Political Reform Act/How to Get Help.................. Appendix – 1

Cover image courtesy of
Courtney Corlew on Unsplash
INTRODUCTION

The purpose of California’s Political Reform Act (Act) is to ensure that disclosure of political payments is accurate, timely, and made in a transparent manner. Clear and accurate disclosure is essential for making voters aware of who is paying for political messages so they may evaluate the content and make informed decisions when voting.

In California, the true source of a contribution must be disclosed. This manual sets out the campaign reporting requirements for:

- Local candidates
- Superior and Appellate Court judges and candidates for Superior and Appellate Court
- Local candidate controlled committees
- Committees primarily formed to support or oppose a local candidate(s)

Since the Act was approved by California voters in 1974, there have been more than 200 amendments to the Act’s campaign disclosure provisions. This manual has been prepared to assist local candidates and committees in complying with the Act’s numerous and often detailed rules. The manual is written in a “user friendly” format so that candidates and committees have a resource guide. At the end of each chapter, a list of statutes and regulations that provide authority for the information in that chapter is provided. The statutes and regulations may be accessed on the FPPC website.

This manual describes the state campaign finance and disclosure laws under the Act that apply to local candidates and committees. Many cities and counties have adopted local campaign ordinances that contain additional restrictions and requirements. Local candidates and committees should check with their local elections office or ethics agency to determine if there are additional local requirements and restrictions, such as contribution limits.
In addition, federal and state tax laws and other rules may also apply. The Appendix contains telephone numbers and website addresses for the Federal Election Commission, the Internal Revenue Service, the California Franchise Tax Board, and the Federal Communications Commission.

State candidates and officeholders, their controlled committees, and committees primarily formed to support or oppose a state candidate(s) should refer to FPPC’s Campaign Disclosure Manual 1.

**Controlling Law**

This manual summarizes key campaign disclosure laws and regulations and draws from years of FPPC staff advice on complying with the Act’s campaign disclosure laws. Each committee’s activity is different, however, and may raise issues not discussed in this manual. If there are any discrepancies between the manual and the Act or its corresponding regulations, the Act and its regulations will control.

**Need Help?**

If you need assistance, the Fair Political Practices Commission (FPPC) provides advice by email and through a toll-free telephone advice line. The FPPC does not provide third party advice or advice on past conduct. The FPPC website (www.fppc.ca.gov) contains forms, manuals, and a wealth of other helpful information.

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<tr>
<td><a href="mailto:advice@fppc.ca.gov">advice@fppc.ca.gov</a></td>
<td>1-866-ASK FPPC (1-866-275-3772)</td>
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GETTING STARTED

This chapter outlines the requirements for candidates and committees primarily formed to support or oppose a candidate(s) to start their campaigns. In the Political Reform Act (Act) and this manual, “candidates” includes non-incumbent candidates, officeholders, officeholders running for reelection, and officeholders running for election to another office.

Before raising or spending money in connection with an election, candidates and committee treasurers should become familiar with the various campaign disclosure forms applicable to the type of campaign or committee involved.

The chapter is broken down by candidates who will raise and spend less than $2,000, candidates who will raise and spend more than $2,000, and committees primarily formed to support or oppose a candidate(s) that are not controlled by the candidate(s) being supported.

In addition to filing the campaign statements described in this chapter, most candidates must also file a Statement of Economic Interests (Form 700). The Form 700 is used to disclose an individual’s personal financial interests that could potentially be affected by the individual’s decisionmaking. Candidates must disclose investments and interests in real property held on the day the declaration of candidacy is due, as well as income received during the 12 months prior to the date of filing the declaration of candidacy. The Form 700 candidate statement is due no later than the final filing date for the declaration of candidacy and is filed with the city clerk or county elections office where the declaration of candidacy is filed. The FPPC’s website contains additional information about the Form 700.

A. Candidates Raising and Spending Less than $2,000

A candidate who does not plan to raise or spend $2,000 or more in a calendar year, including the candidate’s personal funds, must file one or both of the following campaign statements.
• **Form 501 (Candidate Intention Statement).** The Form 501 must be filed only if the candidate plans to raise or spend any money, including the candidate’s personal funds.

• **Form 470 (Officeholder and Candidate Campaign Statement—Short Form).** The Form 470 may be filed by a candidate or officeholder who does not anticipate raising or spending $2,000 or more in a calendar year.

Personal funds used to pay filing or ballot statement fees are not counted toward the $2,000 committee qualification threshold. If a candidate does not raise any money and personal funds are used only to pay filing or ballot statement fees, the candidate is not required to file the Form 501.

If any monetary contributions will be received from others, a separate campaign bank account must be established.

If a candidate files the Form 470 covering a calendar year and later in that calendar year receives contributions totaling $2,000 or more, the candidate must file a Form 470 Supplement. The candidate must also file the Form 410 (Statement of Organization) and begin filing the Form 460 (Recipient Committee Campaign Statement). If a bank account has not already been established, the candidate must also establish a campaign bank account.

**Exception:** A candidate for a county central committee of a qualified political party who receives contributions of less than $2,000 and who makes expenditures of less than $2,000 is not required to file any campaign statements, including the Form 501 and Form 470. County central committee candidates who raise or spend $2,000 or more in a calendar year are subject to the Act’s campaign reporting requirements.

**B. Candidates Raising and Spending $2,000 or More**

A candidate who plans to raise or spend $2,000 or more in a calendar year, including the candidate’s personal funds, must:
• File the **Form 501 (Candidate Intention Statement)**.

• Establish a campaign **bank account**.

• File the **Form 410 (Statement of Organization)**.

A candidate or officeholder who would like to use leftover campaign funds from a previous election must redesignate or transfer the funds before they become “surplus funds.” (See Chapters 5 and 11.)

As discussed in detail later in the manual, once a candidate controlled committee has raised or spent $2,000 or more, the following reports must also be filed:

• **Form 497 (24-Hour/10-Day Contribution Report)**. 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, the Form 497 must be filed within 24 hours.

• **Form 460 (Recipient Committee Campaign Statement)**. The Form 460 contains an overview of the committee’s activity during a specified period. It is used to file semi-annual and preelection statements.

**Committees Controlled by Two or More Candidates**

If two or more candidates form one committee to support their candidacies for elective office, such as a slate of candidates running for school board or city council, they must:

• Each file the **Form 501 (Candidate Intention Statement)**.

• Establish **one bank account** for the committee (each candidate must deposit all contributions and make all expenditures from this bank account).

• File one **Form 410 (Statement of Organization)**.

Committees controlled by two or more candidates file only one **Form 460 (Recipient Committee Campaign Statement)** to disclose the committee’s activity each time the statement is due.
C. Candidate Controlled Committees – One Bank Account Rule

Under the Act, a candidate or officeholder must establish one controlled committee with one bank account for each election. All contributions must be deposited in and all expenditures must be made from the campaign bank account. The Act’s one committee/one bank account rule for candidates and elected officeholders gives clear disclosure of the candidate or elected officeholder’s campaign finances and ensures compliance with applicable local contribution limits, if any. A committee set up by the candidate or officeholder for his or her election is the candidate’s controlled committee.

A candidate controls a committee if he or she has a significant influence on the actions or decisions of the committee or acts jointly with the committee in connection with its expenditures. Under the one committee/one bank account provisions of the Act, a candidate or officeholder who controls a committee for his or her election may not at the same time control a general purpose committee, such as an “Improve River City” committee. In limited circumstances, exceptions to the one committee/one bank account rule exist to permit a local candidate or officeholder to control a ballot measure committee, legal defense fund, or officeholder expense committee (if provided by local ordinance).

D. Committees Primarily Formed to Support or Oppose a Candidate

A “primarily formed committee” is formed to support or oppose a single candidate or a group of candidates all being voted on in the same election but is not controlled by the candidate(s) who is being supported. Primarily formed committees:

- Must file Form 410 (Statement of Organization).
- Should establish a campaign bank account.

As discussed in detail later in the manual, once a committee has raised or spent $2,000 or more, the following reports must also be filed:

Quick Tip
A candidate or officeholder may only have one bank account per committee.

Quick Tip
A “primarily formed candidate committee” is a committee not controlled by a candidate and whose main activity is making independent expenditures for the candidate or against their opponent.
• **Form 497 (24-Hour/10-Day Contribution Report).** Within 90 days before the election, including the date of the election, if a primarily formed committee makes a contribution(s) of $1,000 or more to a candidate or ballot measure committee or receives a contribution(s) of $1,000 or more from a single source, the Form 497 must be filed within 24 hours.

• **Form 496 (24-Hour/10-Day Independent Expenditure Report).** Within 90 days before the election, including the date of the election, if a primarily formed committee makes an independent expenditure of $1,000 or more, the Form 496 must be filed within 24 hours. The **Form 462 (Verification of Independent Expenditures)** must also be filed. See Chapter 10 for additional information on the Form 462.

• **Form 460 (Recipient Committee Campaign Statement).** The Form 460 contains an overview of the committee’s activity during a specified period. It is used to file semi-annual and preelection statements.

A primarily formed committee is not required to file the Form 501. A primarily formed committee with little or no activity may be eligible to file the Form 450 or Form 425 instead of the Form 460. (See Chapter 8.)

### E. Establishing a Campaign Bank Account

Candidates who anticipate soliciting or receiving contributions from others, or who anticipate spending $2,000 or more of their personal funds in connection with their election, must open a campaign bank account. The account may be established at any financial institution (i.e., bank, credit union) located in California. A candidate’s personal funds used to pay the filing fee or the ballot statement fee do not count toward the $2,000 committee qualification threshold.

Under the Act’s one bank account provisions discussed above, a candidate or officeholder may only have one controlled committee with one bank account per election. Candidates running for one office while holding another may establish a separate campaign bank account for each office, but may not have more than one bank account per office per election.
Although primarily formed committees are not required to establish a campaign bank account, it is recommended that they do so. Pre-numbered and pre-printed checks with the committee’s name are useful in meeting the recordkeeping requirements described in Chapter 2.

Campaign contributions may not be commingled with any individual’s personal funds. All contributions must be deposited in, and expenditures must be made from, the campaign bank account. Except as noted below, candidates must first deposit personal funds to be used for the campaign in the campaign bank account before making campaign expenditures, even if the candidate does not expect to be reimbursed.

**Exceptions:**

- Candidates may use their personal funds to pay a filing fee, a ballot statement fee, or the $50 Secretary of State fee, without first depositing the funds into the campaign bank account.

- An officeholder may use personal funds to pay officeholder expenses.

- A candidate may contract with a vendor or collecting agent to collect contributions prior to promptly transferring the funds to the candidate’s campaign bank account without violating the requirement that the candidate have no more than one bank account. Fees deducted by the vendor are considered expenditures from the campaign bank account at the time they are deducted.
F. Form 501 – Candidate Intention Statement

Before soliciting or receiving any contributions or making expenditures from personal funds, a candidate must file the Form 501 with the filing officer who will receive the candidate’s original campaign statements (i.e., city clerk or county elections). Judicial candidates file the Form 501 with the Secretary of State. A new Form 501 must be filed for each election, even if the candidate is running for reelection to the same office. The Form 501 is considered filed on the date it is postmarked or hand-delivered.

Candidate Intention Statement

Check One: ☑ Initial ☐ Amendment (Explain) ____________________________________________

1. Candidate Information:

NAME OF CANDIDATE (Last, First Middle Initial)  DAYTIME TELEPHONE NUMBER  FAX NUMBER (optional)  EMAIL (optional)
Cole, Rayna  (707) 555-1234  (707) 555-1235  rcole@gmail.com

STREET ADDRESS  CITY  STATE  ZIP CODE
1212 Fourth Avenue  Oakmont  CA  95443

OFFICE SOUGHT (POSITION TITLE)  AGENCY NAME  DISTRICT NUMBER, if applicable
City Council  City of Oakmont  1

OFFICE JURISDICTION  PARTY PREFERENCE:
☐ State  ☐ City  ☐ County  ☑ Multi-County: ____________________________________________
(NAME OF MULTI-COUNTY JURISDICTION)  (Check one box, if applicable.)

2. State Candidate Expenditure Limit Statement:

(CalPERS and CalSTRS candidates, judges, judicial candidates, and candidates for local offices do not complete Part 2.)

☐ 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.

☐ 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 ______/____/____  Signature ____________________________
(Candidate)
Completing the Form 501

A Type of Statement

Check the appropriate box to indicate the type of statement being filed:

- Initial: If this is the first Form 501 being filed for the election.

- Amendment: If any changes occur on a previously filed Form 501 (e.g., a change of address). Provide a brief explanation of the change(s).

1 Candidate Information

Provide the candidate’s full name, street address (a business address may be used), and a daytime telephone number. A fax number and email address may also be provided.

Office Sought

Enter the title of the office sought (e.g., County Supervisor).

Agency Name

Enter the name of the agency (e.g., County of Riverside).

District Number

Enter the district number or letter, if applicable.

Office Jurisdiction

Check the appropriate box to indicate the jurisdiction of the office being sought:

- Multi-County: Candidates seeking an elective office where the jurisdiction of the agency contains parts of two or more counties (e.g., water district). Enter the name of the multi-county jurisdiction.

- County: Candidates seeking an elective county office (including Superior Court judge and most school board members).

- City: Candidates seeking an elective city office.
Year of Election

Enter the year of the election for the office being sought. Month and day are not required.

2 State Candidate Expenditure Limit Statement

This section does not apply to local candidates. It applies only to candidates for State Senate and Assembly and candidates seeking a state office.

3 Verification

The Form 501 must be signed by the candidate. It is not considered filed if it is not signed.

Answering Your Questions

A. When may I begin to solicit and receive contributions for my election?

You may solicit and receive contributions once you have mailed or hand-delivered the Form 501.

B. I am only going to pay the required county election fees to get my name on the ballot. No additional money will be raised or spent. Must I file the Form 501?

No. As long as your only expenditures are for the ballot qualification fees and no money will be raised, the Form 501 is not required.

C. Am I required to file the Form 501 when I run for reelection to the same office?

Yes. If you seek reelection to the same office, you are required to file an “Initial” Form 501 prior to raising or spending any money for the new election.
D. Am I required to file a document to withdraw as a candidate?

The FPPC does not administer the laws that govern what candidates must do to appear on a ballot or to remove their names from a ballot. Contact your local filing officer.

E. Am I required to file the Form 501 if I will set up a committee to fight my recall?

No. An officeholder who is the target of a recall is not required to file the Form 501.

F. Am I required to file the Form 501 if I am a replacement candidate in a recall election?

Yes. Replacement candidates must file the Form 501.

G. Are candidates who are seeking election to a particular district or seat (e.g., city council or community college board of trustees) required to specify the district/seat on the Form 501?

Yes. Each district/seat on the city council or the community college board of trustees is considered a specific office. Note: The “district number” is not required for candidates running for mayor or city council at large.

H. I have completed the process to be an official write-in candidate. Do I have any reporting obligations?

Yes. You have the same reporting obligations as any other candidate.
G. Form 470 – Officeholder and Candidate Campaign Statement – Short Form

The Form 470 must be filed by a candidate or officeholder who does not anticipate raising or spending $2,000 or more in a calendar year. Payments from the candidate’s personal funds used to pay filing or ballot statement fees do not count toward the $2,000 committee qualification threshold.

The Form 470 may not be used if the candidate or officeholder has an existing controlled committee established for a past election, future election, or ballot measure (including recalls).

There are special exceptions, discussed below, that apply to judges and unpaid elected officeholders (officeholders who receive salaries of less than $200 per month).

When to File the Form 470 in Connection With an Election

Non-Incumbent Candidates

Candidates on ballot in first six months of the calendar year. The Form 470 may be filed with the declaration of candidacy but must be filed no later than the deadline for the first preelection statement.

Candidates on ballot in last six months of the calendar year. If the candidate receives contributions or makes expenditures:

- Before June 30: Form 470 must be filed by July 31.
- After June 30: Form 470 may be filed with the declaration of candidacy but must be filed no later than the deadline for the first preelection statement.

Candidates running in an election in the first three months of the year may be required to file the Form 470 in October, November, or December of the previous non-election year, as well as in the election year. Candidates should review the applicable filing schedule.

Quick Tip

If the Form 470 is filed and the candidate then raises or spends $2,000 or more in that calendar year, the candidate must file the Form 470 Supplement, the Form 410, and begin filing the Form 460.

Ex 1.1 - Non-incumbent judicial candidate Janice Chambers is listed on the November ballot. She does not intend to raise or spend $2,000 in connection with her election. By June 30, she had received no contributions and her only expenditures were for the filing and ballot statement fees paid for with her personal funds. Janice is required to file Form 470 by the first preelection filing deadline.
Officeholders on the Ballot

If an officeholder will be listed on a ballot during the first six months of the calendar year, the Form 470 (covering the year of the election) may be filed with the declaration of candidacy but must be filed no later than the filing deadline for the first preelection statement required in connection with the election. If the election will be held during the last six months of the calendar year, the Form 470 must be filed no later than July 31.

Judges and Unpaid Elected Officeholders on the Ballot

During an election year, the deadline for filing the Form 470 will depend on the date of the election. Judges and unpaid officeholders running in an election during the first six months of the year may file the Form 470 (covering the year of the election) with the declaration of candidacy but must be filed no later than the filing deadline for the first preelection statement required in connection with the election.

If the election will be held during the last six months of the year, the Form 470 must be filed by July 31 if any funds were raised or spent (other than the candidate’s personal funds for a filing or ballot statement fee) between January 1 and June 30. If no contributions were received or expenditures made by June 30, the Form 470 may be filed with the declaration of candidacy but must be filed no later than the filing deadline for the first preelection statement required in connection with the election.

Officeholders and Judges Not on a Ballot

See Chapter 9 for the reporting obligations of officeholders and judges who are not listed on the ballot.

Where to File Form 470

<table>
<thead>
<tr>
<th>Candidate/Officeholder</th>
<th>Where to File</th>
<th>What to File</th>
</tr>
</thead>
<tbody>
<tr>
<td>Judges</td>
<td>Secretary of State</td>
<td>Original and one copy</td>
</tr>
<tr>
<td></td>
<td>County of Domicile</td>
<td>One copy</td>
</tr>
<tr>
<td>Multi-County Offices (Local agencies with jurisdiction in more than one county)</td>
<td>County with largest number of registered voters</td>
<td>Original and one copy</td>
</tr>
<tr>
<td></td>
<td>County of Domicile, if different</td>
<td>One copy</td>
</tr>
<tr>
<td>County offices</td>
<td>County Elections Office</td>
<td>Original and one copy</td>
</tr>
<tr>
<td>City offices</td>
<td>City Clerk</td>
<td>Original and one copy</td>
</tr>
</tbody>
</table>
Officeholder and Candidate Campaign Statement - Short Form

1. Statement Covers Calendar Year 20XX.

2. Officeholder or Candidate Information
   NAME OF OFFICEHOLDER OR CANDIDATE: Rayna Cole
   STREET ADDRESS: 1212 Fourth Avenue
   CITY STATE ZIP CODE: City of Oakmont, CA 95443
   JURISDICTION (LOCATION): Oakmont
   PHONE NUMBER: 707-555-1234
   OPTIONAL: FAX / E-MAIL ADDRESS: 707-555-1235/ rcole@gmail.com

3. Office Sought or Held
   OFFICE SOUGHT OR HELD: City Council
   DISTRICT NUMBER (IF APPLICABLE): 1

4. Committee Information
   COMMITTEE NAME AND I.D. NUMBER: Friends Supporting Rayna Cole for City Council 20XX
   COMMITTEE ADDRESS: 1618 C Street
   NAME OF TREASURER: Gabriel Stoll
   CITY STATE ZIP CODE: Oakmont, CA 95443

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 Required] by [Signature Required]

Completing the Form 470

A Date of Election

If the candidate or officeholder is running in an election during the calendar year, indicate the month, day, and year of the election.

1 Period Covered

The period covered is always the calendar year.

2 Officeholder or Candidate Information

Provide the candidate/officeholder’s full name, street address (a business address may be used), and a daytime telephone number. A fax number and email address may also be provided.
3 **Office Sought or Held**

Indicate the office being sought or held and provide the location and district number of the office, if applicable.

4 **Committee Information**

A candidate or officeholder who is aware of a primarily formed committee that is receiving contributions and making expenditures on behalf of his or her candidacy must disclose the primarily formed committee’s name, identification number, address, and the name of the treasurer.

Ex 1.4 - Rayna Cole’s neighbors formed the Friends Supporting Rayna Cole for City Council 20XX committee. Ms. Cole is aware of the committee but has no involvement with its day-to-day activities. Ms. Cole must disclose the committee’s information on her Form 470.

5 **Verification**

The Form 470 must be signed by the candidate/officeholder. It is not considered filed if it is not signed.

**Answering Your Form 470 Questions**

A. **What reporting period does the Form 470 cover?**

   The Form 470 is filed once each calendar year and covers the entire calendar year. When you file the Form 470 covering the year of the election with your declaration of candidacy, or on or before the deadline for filing your first pre-election statement, you do not need to file any additional campaign statements as long as you do not raise or spend $2,000 or more during the calendar year.

B. **If I am a non-incumbent candidate, am I required to file the Form 470 in connection with my election if I am running unopposed, my name does not appear on the ballot, and the only expenditure I make is from personal funds for a filing or ballot statement fee?**

   No. A Form 470 is not required. However, once you assume office, a Form 470 may be required.
C. If I am in a January election and will not raise or spend $2,000 in connection with that election, when am I required to file Form 470?

You must file Form 470 in November of the preceding year (the deadline for filing your first preelection statement in connection with the January election). In addition, if your second preelection statement is due in January, another Form 470 must be filed because a Form 470 is required for each calendar year. The first Form 470 covers the calendar year preceding the election, and the second Form 470 covers the calendar year in which the election takes place.

D. I am running as a non-incumbent candidate for city council in November. I filed a Candidate Intention Statement (Form 501) and Statement of Organization (Form 410) to form a committee on May 1, but I did not qualify as a committee by June 30th. Should I file the Form 470 or the Form 460 by the July 31 semi-annual due date?

Because you intend to raise $2,000 or more in the calendar year, you should file the Form 460. This allows you to avoid the requirement to file the Form 470 Supplement within 48 hours of raising or spending $2,000 or more. But, it is permissible to file the Form 470 since the committee qualification threshold was not met by June 30th.
E. I am a city council member and I closed my campaign committee in March. May I file the Form 470 for the statement due July 31?

No. You may not file the Form 470 if you had an open committee at any time during the calendar year or intend to have one later in the year. You must continue filing the Form 460 as an officeholder for the remainder of the calendar year. The Form 470 may be filed the following calendar year if you do not have, nor intend to have, a committee for that entire calendar year.

F. I am in a June election this year and filed a Form 470 for last year because I started raising money in December. Am I required to file a 470 Supplement if I receive contributions totaling more than $2,000 in January?

No. The Form 470 Supplement is only required if you file the Form 470 and subsequently raise or spend $2,000 in the same calendar year. Since you filed the Form 470 last year, but did not meet the $2,000 committee qualification threshold until the following calendar year, you are not required to file the Form 470 Supplement. You must file the Form 410 (Statement of Organization) and begin filing the other applicable campaign reports (e.g., Form 460, Form 497).
Form 470 Supplement

If a candidate files a Form 470 covering a calendar year in which the candidate is running in an election (i.e., with the declaration of candidacy, in lieu of a first preelection statement, or for the June 30 semi-annual filing) and later receives contributions totaling $2,000 or more, or makes expenditures totaling $2,000 or more, the candidate must file a Form 470 Supplement.

When and Where to File the Form 470 Supplement

The Form 470 Supplement must be filed within 48 hours of receiving or spending $2,000 or more.

The notification is sent to:

- Secretary of State’s Office;
- Each candidate seeking the same office; and
- City or county clerk, or county registrar of voters, if the candidate is running for a city or county office.

The notification must be sent by guaranteed overnight delivery, personal delivery, fax, or email.

The candidate must also file a Statement of Organization (Form 410) and begin filing the Recipient Committee Campaign Statement (Form 460). The 24-Hour/10-Day Contribution Report (Form 497) may also be required.
## Officeholder or Candidate Information

- **NAME OF OFFICEHOLDER OR CANDIDATE:** Rayna Cole
- **STREET ADDRESS:** 1212 Fourth Avenue, Oakmont, CA 95443
- **AREA CODE/DAYTIME PHONE NUMBER:** 707-555-1234
- **FAX / E-MAIL ADDRESS:** 707-555-1235/ rcole@gmail.com

## Office Sought

- **OFFICE SOUGHT:** Oakmont City Council
- **DATE OF ELECTION (MONTH, DAY, YEAR):** 6/6/XX

## Date $2,000 Threshold Was Met

- **DATE CONTRIBUTIONS TOTALING $2,000 OR MORE WERE RECEIVED OR DATE EXPENDITURES OF $2,000 OR MORE WERE MADE:** 4/1/XX

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### Completing the Form 470 Supplement

1. **Officeholder or Candidate Information**

   Provide the candidate/officeholder’s full name, street address (a business address may be used), and a daytime telephone number. A fax number and email address may also be provided.

2. **Office Sought**

   Indicate the office being sought, the date of the election, and the district number, if applicable.

3. **Date $2,000 Threshold Was Met**

   Provide the date contributions totaling $2,000 or more were received or the date expenditures of $2,000 or more were made.
H. Form 410 – Statement of Organization

A candidate controlled committee or a committee primarily formed to support or oppose a candidate (or group of candidates in the same election) that raises or spends $2,000 or more in a calendar year qualifies as a recipient committee and must file Form 410. The Form 410 identifies the name of the committee and provides the public with information regarding the committee’s purpose and its officers.

Annual Committee Fees

All committees that file a Form 410 must pay a $50 fee to the Secretary of State no later than 15 days after the Form 410 is filed. Committees must pay the fee annually by January 15 until the committee terminates. If the annual fee is not paid by the January 15 deadline, the law imposes a $150 penalty, which will require the committee to pay a total of $200 (the $50 annual fee plus the $150 late penalty). Failure to pay the fine will result in a referral to the FPPC’s Enforcement Division.

**Note:** Committees that are created and pay the initial $50 fee in the last three months of a calendar year are not subject to the annual fee in the subsequent year.

If the committee is going to terminate, in order to avoid the fee for the subsequent year, a committee must cease activity by December 31 of the current year and file the terminating Form 410 with the Secretary of State on or before January 31 of the next year. There is no provision for extension of the deadline and fee payment.

When and Where to File the Form 410

File the original Form 410 with the Secretary of State within 10 days of raising or spending $2,000 or more.

Send the Form 410 to:

Secretary of State  
Political Reform Division  
1500 11th Street, Suite 495  
Sacramento, CA 95814

**Ex 1.5** - On February 15, a candidate for mayor opened a campaign bank account with a personal loan of $2,500. By February 25, the Form 410 must be sent to the Secretary of State and a copy to the city clerk.
In addition, candidates for local office and committees primarily formed to support or oppose local candidates must file a copy of the Form 410 with the local filing officer (i.e., city clerk or county elections) with whom the committee will file its original campaign statements.

The Form 410 may be filed prior to raising or spending $2,000, but then must be amended within 10 days of reaching the $2,000 threshold to disclose the date the committee qualified.

**24-Hour/10-Day Deadline for the Form 410**

A committee that qualifies during the last 16 days before the election must file Form 410 within 24 hours of qualifying. The Form 410 must be provided to the filing officer with whom the committee will file its original campaign disclosure statements (e.g., Form 460) by fax, guaranteed overnight delivery, or personal delivery. In addition, an original Form 410 must be filed with the Secretary of State within 10 days of qualifying as a committee (regular mail may be used).

**Committee ID Number**

Upon receipt of the Form 410, the Secretary of State’s office will assign the committee an identification number. This number is used on all reporting forms. After filing the Form 410, committees may go to the Cal-Access section of the Secretary of State’s website to obtain the committee identification number. Contact the Secretary of State’s office at (916) 653-6224 with any other questions about obtaining a committee identification number.

**Amending the Form 410**

When any information on the Form 410 changes, an amendment must be filed within 10 days of the change. This is especially important if the committee has a new treasurer or principal officer(s) since the individuals listed on the most recently filed Form 410 are liable for the committee’s activity.
24-Hour/10-Day Deadline for Amendments to the Form 410

Changes to important information in the last 16 days before the election require a committee to file an amendment within 24 hours. If, during the last 16 days before the election, any of the following changes occur, the committee must file an amended Form 410 within 24 hours with the filing officer with whom the committee files its original campaign statements:

- The name of the committee.
- The treasurer or other principal officers.
- Any candidate who controls the committee.
- Any committee with which the committee acts jointly.

The amendment provided to the filing officer with whom the committee files its original campaign statements must be delivered by personal delivery, guaranteed overnight delivery, fax, or online transmission (if online filing is available). The originally signed Form 410 amendment must be filed with Secretary of State within 10 days (regular mail may be used).
Completing the Form 410

A Statement Type

Check the “Initial” box if this is the first filing and indicate the date on which the committee met the $2,000 threshold or check the “Not Yet Qualified” box. If the “Not Yet Qualified” box is checked, an amended Form 410 must be filed within 10 days of reaching or exceeding the $2,000 threshold to provide the date the committee qualified.

Check the “Amendment” box to amend information on an existing Form 410 (e.g., to report the date the committee qualified as a committee).
Committee Information

Provide the full name of the committee.

Candidate Controlled Committees. A committee controlled by a candidate must include in its name the last name of the candidate, the office sought, and the year of the election.

Committees established by an officeholder to defend against a recall attempt must include the term “recall” in the committee name.

Primarily Formed Committees. A committee primarily formed to support or oppose a candidate(s) 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 Sanchez for Kern County Supervisor 20XX).

If a primarily formed committee is sponsored by a business entity, organization, or association, the name of the sponsor must also be included in the name of the committee.

Committee Address

Provide the committee’s street address and mailing address. A post office box may be used as a mailing address. The committee may have more than one mailing address.

Committee Fax/Email Address

Provide the committee's fax number and email address. The email address is required.

County of Domicile and Jurisdiction Where Committee is Active

Indicate the county in which the committee is located and the jurisdiction in which the committee is active. These may be different.

Treasurer and Other Principal Officers

The committee must have a treasurer and may have an assistant treasurer. Provide the names, street addresses, and telephone numbers of the treasurer and assistant treasurer. If a candidate chooses to be his or her own treasurer, list the name, street address, and telephone number of the candidate.

Quick Tip

The Secretary of State’s office must reject the filing of a Form 410 if the committee’s email address is not included.
A primarily formed committee must also list the name of the principal officer(s) and the principal officer’s street address. If no individual other than the treasurer is a principal officer, the treasurer must be identified as both the treasurer and the principal officer. A principal officer is an individual that is responsible for the following types of activities:

- Authorizing the content of committee communications.
- Authorizing expenditures.
- Determining the committee’s campaign strategy.

A committee may have several principal officers. If there are more than three, a committee need only identify on the Form 410 three individuals serving as principal officers.

### 3 Verification

The treasurer or assistant treasurer must complete the verification. If the committee is controlled by a candidate, the candidate must also sign the verification. The Form 410 is not considered filed if it is not signed by both the treasurer or assistant treasurer and the candidate. If a candidate is his or her own treasurer, the candidate must sign on both lines.

When two or three candidates control a committee, each candidate must sign the verification. If more than three candidates control the committee, one of the candidates may sign on behalf of all controlling candidates.

### Bank Account

Report the name and address of the financial institution where the committee’s campaign bank account is located, as well as the campaign bank account number. If a bank account has not been opened at the time of filing an “Initial” Form 410, amend the Form 410 within ten days of opening the bank account to provide this information.
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.

<table>
<thead>
<tr>
<th>NAME OF CANDIDATE/OFFICEHOLDER/STATE MEASURE PROONENT</th>
<th>ELECTIVE OFFICE SOUGHT OR HELD (INCLUDE DISTRICT NUMBER IF APPLICABLE)</th>
<th>YEAR OF ELECTION</th>
<th>PARTY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manuel Alvarez</td>
<td>Oakmont City Council, District 1</td>
<td>20XX</td>
<td>Nonpartisan [✓] Partisan [ ]</td>
</tr>
</tbody>
</table>

4 Type of Committee

Controlled Committee

Candidate controlled committees must complete this section. A candidate or officeholder’s own committee for election to office is his or her “controlled committee.” Provide the name of the candidate, office sought (include district number, if applicable), year of the election and, since all local elections in California are non-partisan, check the “Non-Partisan” box in the “Party” column. If two or more candidates form one committee to support their candidacies for elective office, this information must be completed for each candidate.

Primarily Formed Committee

Complete this section for a committee that is not controlled by a candidate or officeholder whose principal activity is raising or spending money to make independent expenditures supporting or opposing a specific candidate or a group of specific candidates all being voted upon in the same election on the same date.

Sponsored Committee

If the committee is sponsored by an entity, provide the name and address of the sponsor. In addition, indicate the industry group or affiliation of the sponsor. Individuals do not sponsor committees.
An entity sponsors a committee if any of the following criteria apply:

• The committee receives 80% or more of its contributions from the entity or its members, officers, employees, or shareholders.

• The entity collects contributions for the committee through payroll deductions or dues from its members, officers, or employees.

• The entity, alone or in combination with other organizations, provides all or nearly all of the administrative services for the committee.

• The entity, alone or in combination with other organizations, sets the policies for contribution solicitation or payment of expenditures from committee funds.

**Answering Your Questions**

**A. Must we wait until $2,000 or more is received to file a Form 410?**

No. You may file a Form 410 prior to committee qualification. Check the “Not Yet Qualified” box. Once you have reached the $2,000 threshold, file an amendment to report the date the committee qualified.

**B. May our committee use a mail receiving and forwarding service as the committee’s street address on the Form 410?**

No. Either the committee’s street address or the treasurer’s street address (home or business) must be provided. A post office box may be used as a mailing address.

**C. As a candidate, may I be the designated treasurer on the Form 410?**

Yes. You may be the treasurer or assistant treasurer.
D. May more than one candidate control a single committee to run for office?

Yes. Each candidate should file a Form 501 prior to raising or spending any money. For both the Form 410 and Form 460, each candidate must sign the verification, in addition to the treasurer or assistant treasurer. If the committee is controlled by more than three candidates, one candidate may sign on behalf of the other candidates.

E. I am a school board candidate. Prior to attending an FPPC webinar and learning that it was not permitted, I used personal funds to pay for some of my start-up campaign expenses. How is this reported on the Form 460?

So that the activity is properly disclosed, the amount of personal funds used should be reported on Schedule A as monetary contributions and on Schedule E (itemize purchases of $100 or more). This provides clear disclosure to the public about where the funds were spent. If you wish to be reimbursed by the committee, you should report the amount on Schedule F as an accrued expense. If you have already been reimbursed by the committee, the amount will be reported on Schedule E as an expenditure. 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.

F. I am an officeholder and the target of a recall election. I have formed a separate committee to oppose the recall. On the Form 410, what sections do I complete under Part 4 — Type of Committee?

You should complete both the Controlled Committee and Primarily Formed Ballot Measure Committee sections. Be sure to include the word “recall” in the name of the committee.
G. I am running as a replacement candidate on a recall ballot. On the Form 410, what sections do I complete under Part 4—Type of Committee?

You should complete the Controlled Committee section.

**Authority**

The following Government Code sections and Title 2 regulations provide authority for the information in this chapter:

**Government Code Sections**

- 81004 Reports and Statements; Perjury; Verification.
- 81004.5 Reports and Statements; Amendments.
- 81007 Mailing of Report or Statement.
- 82007 Candidate.
- 82013 Committee.
- 82016 Controlled Committee.
- 82025 Expenditure.
- 82044 Payment.
- 82047.5 Primarily Formed Committee.
- 82048.7 Sponsored Committee.
- 84101 Statement of Organization; Filing.
- 84102 Statement of Organization; Contents.
- 84103 Statement of Organization; Amendments.
- 84106 Sponsored Committee; Identification.
- 84206 Candidates Who Receive or Spend Less than $2,000.
- 84207 County Central Committee Candidates Who Receive or Spend Less Than $2,000.
- 84215 Campaign Reports and Statements; Where to File.
- 85200 Statement of Intention to be a Candidate.
- 85201 Campaign Bank Account.
- 87201 Candidates (Statement of Economic Interests).
Title 2 Regulations

18247.5 Primarily Formed Committees.
18402 Committee Names.
18406 Short Form for Candidates or Officeholders Who Receive and Spend Less than $2,000 in a Calendar Year.
18419 Sponsored Committees.
18430 Committees Controlled by More Than One Candidate.
18520 Statement of Intention to Be a Candidate.
18521 Establishment of Separate Controlled Committee for Each Campaign Account.
18531.5 Recall Elections.
FINANCES/RECORDKEEPING

One of the fundamental purposes of the Political Reform Act (Act), an initiative passed by the voters, is to ensure that receipts and expenditures in election campaigns are truthfully and fully disclosed. In order to do so, an individual that chooses to act as a committee treasurer, assistant treasurer, or principal officer must know and practice the finance and recordkeeping requirements and responsibilities discussed in this chapter.

A. Committee Treasurer and Principal Officer

Every committee must have a treasurer before the committee may accept contributions or make expenditures. Although there are no restrictions on who may be a treasurer, in order to adequately perform the duties, the treasurer must understand the campaign finance laws and his or her responsibilities under the Act. The candidate controlling the committee may be the treasurer or assistant treasurer for his or her own committee. **No individual should accept the position of a committee treasurer as a mere figurehead.**

Contributions may not be accepted and expenditures may not be made if the treasurer’s post is vacant at any time, even if the committee has an assistant treasurer. If the treasurer is unavailable to carry out his or her duties, a new treasurer must be designated and the committee’s Statement of Organization (Form 410) amended. The individual listed on the most recent Form 410 filed with the Secretary of State continues to be liable until an amendment is filed to designate a new treasurer.

The committee treasurer or assistant treasurer must sign and verify all reports and statements filed. The verification is signed under penalty of perjury and indicates that:

- The signer has used all reasonable diligence in preparing the statement; and
- To the best of his or her knowledge, the statement is both true and complete.
The signer is legally responsible for the accuracy and completeness of the document, even if it is prepared by a third party, including a professional accountant. An unsigned statement is considered “not filed” and is subject to late fines.

**Treasurer Responsibilities**

A committee treasurer is required to:

- Establish a system of recordkeeping sufficient to ensure that contributions and expenditures are recorded promptly and accurately in compliance with the Act’s recordkeeping and disclosure requirements. (Following the recordkeeping guidelines in this manual ordinarily constitutes compliance with this requirement.)

- Maintain campaign records personally or monitor records kept by others.

- Take steps to ensure all of the Act’s requirements are met regarding receipt, expenditure, and reporting of campaign funds.

- Prepare campaign statements personally or carefully review the statements and underlying records prepared by others.

- Correct any inaccuracies or omissions, and inquire about any information that would cause a person of reasonable prudence to question the accuracy of the campaign statements. Among the circumstances that might give rise to an inquiry regarding a contribution are: the size of the contribution; the reported source; the likelihood of that source making a contribution of that size; the manner in which the contribution is recorded in the campaign records; and all other circumstances surrounding receipt of the contribution.

**Assistant Treasurer Responsibilities**

An assistant treasurer may be designated on the Statement of Organization (Form 410). In the event that the treasurer is unavailable, the assistant treasurer is required, like the treasurer, to use reasonable diligence in preparing and reviewing any campaign statements that he or she signs, and must certify to that effect under

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**Quick Tip**

Reconciling the committee’s bank statement with the committee’s records regularly will ensure accuracy and make completing the campaign forms easier.
penalty of perjury. For statements signed by the assistant treasurer, both the treasurer and the assistant treasurer are liable for any violations pertaining to that report.

There are no restrictions on who may be an assistant treasurer, although he or she should know the reporting obligations, restrictions, and prohibitions provided under the law. For a controlled committee, the candidate may be designated as the assistant treasurer.

**Principal Officer(s) Responsibilities**

A primarily formed committee must designate a principal officer(s) on the Statement of Organization (Form 410). The principal officer is also responsible for maintaining detailed accounts, records, bills and receipts necessary to prepare campaign statements. If no individual other than the treasurer has the primary responsibility for approving the political activity of the committee as described in this manual, the treasurer must be identified as both the treasurer and the principal officer.

**B. Candidate/Officeholder Responsibilities**

A candidate or officeholder is required to:

- Carefully review the campaign statements prepared for filing by the committee and ensure that the statements are properly filed.

- Correct any inaccuracies and omissions in campaign statements of which the candidate is aware, and check and correct any information on campaign statements which a person of reasonable prudence would question based on all of the surrounding circumstances.

- Make sure that the treasurer is exercising all reasonable diligence in the performance of his or her duties.

- Take whatever steps are necessary to replace the treasurer or raise the treasurer’s performance to required standards if the candidate or officeholder knows, or has reason to know, that the treasurer is not exercising all reasonable diligence in the performance of his or her duties.
• Perform with due care any other tasks assumed in connection with the raising, spending, or recording of campaign funds insofar as such tasks relate to the accuracy of information entered on campaign statements.

C. Education

The FPPC provides educational workshops and webinars for candidates and treasurers. In addition, there are several instructive materials available on the website. Candidates and treasurers may also seek advice from FPPC staff by calling the toll-free advice line (866-275-3772) or emailing questions to advice@fppc.ca.gov.

D. Committee Audits

Each odd-numbered year, a total of 20 local jurisdictions are randomly selected for mandatory audit. All candidates in the selected jurisdiction are subject to audit if they have raised or spent $2,000 or more. Additionally, 25% of contested Superior Court offices are randomly selected. Candidates who raise or spend $15,000 or more in these selected races are subject to audit. In addition, the FPPC and the Franchise Tax Board are authorized to conduct discretionary audits.

E. Campaign Bank Accounts

Primarily Formed Committees

A non-candidate controlled “primarily formed committee” is not required to maintain a separate bank account; however, it is recommended that they do so. Pre-numbered and pre-printed checks with the committee’s name are helpful in meeting the recordkeeping requirements discussed in this chapter. Committees may not commingle campaign contributions with any individual’s personal funds.

The candidate and the treasurer may be fined by the FPPC if reporting and recordkeeping requirements are not met. Violations of the Act are punishable by fines of up to $5,000 per violation.
Candidate Controlled Committees

Candidates who anticipate soliciting or receiving contributions from others, or who anticipate spending $2,000 or more of their personal funds in connection with their election, must open a campaign bank account. A candidate’s personal funds used to pay the filing fee or the ballot statement fee do not count toward the $2,000 threshold.

Establishing the Account

The account may be established at any financial institution (i.e., bank, credit union) located in California. Under the Act’s one bank account rule discussed in Chapter 1, a candidate or officeholder may only have one controlled committee with one bank account per election. Candidates running for one office while holding another must establish a separate campaign bank account for each office, but may not have more than one bank account per office per election.

All campaign contributions must be deposited into the campaign bank account and all campaign expenditures must be made from the campaign bank account. Candidates must deposit personal funds to be used for the campaign in the campaign bank account before making campaign expenditures.

Exceptions:

- Candidates may use their personal funds to pay a filing fee, a ballot statement fee, or the $50 Secretary of State fee, without first depositing the funds into the campaign account.

- An officeholder may use personal funds to pay officeholder expenses.

- A candidate may contract with a vendor or collecting agent to collect contributions prior to promptly transferring the funds to the candidate’s campaign bank account without violating the requirement that the candidate have no more than one bank account. Fees deducted by the vendor are considered expenditures from the campaign bank account at the time they are deducted.

Quick Tip

The Political Reform Act does not require a federal tax ID number. However, most banks will require one in order to open a campaign bank account. A tax ID number may be obtained on the IRS website, www.irs.gov.

Quick Tip

Campaign funds may not be commingled with any individual’s personal funds.
Expenditures from Multiple Accounts

A candidate who has more than one campaign committee must make all expenditures in connection with an election from the campaign bank account established for that election, including:

- Campaign strategic planning and fundraising expenses;
- Services and actual expenses of outside political consultants, the campaign treasurer, other staff, pollsters, and other persons who provide services directly in connection with the election;
- Voter registration and get-out-the-vote drives; and
- Payments for mailings, political advertising, yard signs, opinion polls or surveys, and other communications if the payments are either:

1. For a communication that makes reference to the candidate's future election or status as a candidate; or
2. Made three months prior to an election for which the candidate has filed a Candidate Intention Statement (Form 501), a declaration of candidacy, or nomination papers with an elections official, or any other documents necessary to be listed on the ballot for an elective office.

Ex 2.1 - Thien Vu is a city council member and still has an open committee from the city council election. She is running for county supervisor in the next election and has opened another bank account and committee for that race. She must use the campaign bank account for her county supervisor campaign to pay for her yard signs and all other expenses related to the upcoming county supervisor election.

Redesignating the Bank Account

Officeholders: An officeholder seeking reelection to the same office may use the bank account that was established for the prior election. The account may be redesignated at any time prior to receiving contributions in connection with reelection. The officeholder must file a new Form 501 (Candidate Intention Statement) and an amended Form 410 (Statement of Organization).
**Defeated Candidates:** A candidate that is defeated in an election may use the same bank account for a future election to seek the same office. The candidate must file a new Form 501 (Candidate Intention Statement) and an amended Form 410 (Statement of Organization). The funds must be redesignated before they become “surplus funds.” Campaign funds become surplus on the 90th day following the closing date for the postelection reporting period.

**Note:** A campaign bank account may not be redesignated if the officeholder/candidate is seeking election to a **different office**. See Chapter 11 for the requirements that must be met in order to use leftover campaign funds for a future election to seek a different office.

**Ex 2.2** - John Davis lost the city council election in June. John has $3,500 remaining in his campaign bank account and is considering seeking another city council position in two years. In order to use the remaining $3,500 for the future election, John must file a new Form 501 (Candidate Intention Statement) and redesignate the bank account to the future election by amending his Form 410 (Statement of Organization) to indicate the new office sought and year of election. This must be done within 90 days following the end of the postelection reporting period for an election held during the first six months of the year.

**Investments**

Campaign funds may be transferred from a campaign bank account to certificates of deposit, interest-bearing savings accounts, money market funds, or similar accounts. The funds must come from a campaign bank account designated for a specific office and be deposited in investment accounts established only for that office. The funds must be redeposited into the same campaign bank account before being used for campaign expenses.

**Credit Cards**

One or more credit accounts may be established for each campaign bank account. A single credit card, however, may not be designated for more than one campaign bank account. In addition, payment of charges on a credit account must be made only from the appropriate campaign bank account.
In lieu of establishing a new credit account, a candidate may designate an existing personal credit card with a zero balance as the campaign credit card by listing the card number and date of designation in the campaign records. The candidate must ensure that no personal expenses are charged to this account until after all campaign charges have been paid with funds from the campaign bank account. Once all campaign expenses charged to the account have been paid, the candidate may resume using the card for personal purposes.

**Petty Cash**

Candidates may use campaign funds to establish a petty cash fund at each campaign office so long as the following conditions are met:

- A petty cash fund may not hold more than $100 at any time.
- No expenditure of $100 or more may be made from the fund.
- The fund may be used only for expenses associated with the election to the specific office or for the expenses of holding the office for which the petty cash fund was established.
- Once the funds are spent, payments made from petty cash must be reported as expenditures.

**Legal Defense Fund Committees**

The Act permits a local candidate or elected officer to establish a legal defense fund if the candidate or officer is subject to civil, criminal or administrative proceedings arising directly out of the conduct of an election campaign, the electoral process, or the performance of the officer’s governmental duties. Contributions raised for legal defense must be held in a separate bank account. Any funds raised may only be spent to defray attorney’s fees and other related legal costs, as defined in the Act. (See Regulation 18530.45 for additional information.)

The candidate and the treasurer of the legal defense fund committee are subject to the recordkeeping requirements discussed in this chapter. In addition, separate detailed accounts, records, bills, and receipts, for each legal proceeding, including documentation to support the basis and timing for raising legal defense funds, must be kept.
Recall Elections

An officeholder who is the subject of a recall may use an existing committee (set up for the office he or she currently holds) to receive contributions and make expenditures to oppose the qualification of the recall measure, and if the recall petition qualifies, the recall election.

The officeholder may instead choose to set up a separate committee with a separate bank account. The officeholder and committee treasurer are subject to the recordkeeping requirements discussed in this chapter. See Chapter 11 for additional information about recall elections.

F. Recordkeeping

An accurate and organized record must be kept of all campaign contributions and expenditures. All individuals who handle contributions and make expenditures must be aware of and practice the recordkeeping procedures required by the Act and FPPC regulations outlined in this manual. While others may be involved, the candidate, treasurer, and principal officer(s) as listed on the committee’s Statement of Organization (Form 410), remain legally responsible for the accuracy of the records.

Record Retention

Candidates and committees must keep all records, including original source documentation such as bank statements and other records reflecting account activity, and copies of completed campaign statements, for a period of four years from the date the campaign statement relating to the records was filed.

Records of Contributions Received and Other Receipts

Two types of records are required for receipts: a daily record, showing how much money was received on any given day; and a contributor record, with detailed information on each contributor of $25 or more. The daily record requirement may be met simply with bank statements, copies of checks received, or other documentation that provides the required information listed below.

Ex 2.3 - Sharon Goldstein, a city council member, filed her first campaign statement on January 31, 2019. The records associated with completing that statement, such as receipts and information about contributors, must be retained until January 31, 2023.
Date Received

A monetary contribution is received on the date the candidate or committee, or an agent of the candidate or committee, obtains possession or control of the cash, check, or other form of contribution, not the date it is deposited in the bank account. Contributions received by electronic methods such as wire transfer, credit card, or debit account transactions are also received on the date the candidate or committee obtains possession or control of the funds. The following list provides examples:

- A contributor makes a contribution over the telephone. The contribution is “received” by the committee on the date the contributor gives his or her debit/credit account information to the committee.

- A contributor makes a contribution via the Internet and the committee reviews the online transaction before the contribution is processed. The contribution is “received” by the committee on the date the committee receives the payment information.

- A contributor makes a contribution via the Internet and the contribution is made by direct deposit without review and before transaction reports are produced. The contribution is “received” by the committee when the committee has possession of the funds.

- A contributor makes a contribution by text message. The contribution is “received” by the committee on the date that the mobile fundraising vendor, acting as agent of the committee, obtains possession or control of the contribution.

- A contributor agrees to make contributions via installment payments by authorizing the committee to periodically charge his or her credit card or withdraw funds from his or her account. The contribution is “received” when the committee, or an agent of the committee, obtains possession or control of the funds for each installment payment. The contribution reported is only the amount of each installment payment when received. Installment payments scheduled to take place in the future, but not yet received, are not reportable.
Receipts Under $25

A daily lump sum total must be kept for contributions received under $25 and miscellaneous receipts under $25.

Contributor Records

Contributions: $25 to $99.99

For each monetary or nonmonetary contribution or loan of $25 or more, the date received, amount of the contribution, and full name and street address, including zip code, of the contributor must be documented. In addition, the total amount received from the contributor over the course of the current calendar year (the “cumulative amount”) must be recorded.

Contributions: $100 or More

If contributions totaling $100 or more are received from an individual, in addition to the information required for contributions of $25 or more as described above, the contributor’s occupation and employer must be recorded. If the contributor is self-employed, that fact also must be noted along with the name of his or her business. If a check is received from a business entity, generally the contributor is the business entity, not the person who signs the check.

A contribution of $100 or more must be returned if the contributor’s name, street address, and, if the contributor is an individual, his or her occupation and employer are not in the committee’s records within 60 days from receipt of the contribution.

Such contributions may be deposited in the committee’s bank account pending receipt of the information, in which case they must be reported on the next campaign statement required to be filed (including the Form 497, 24-Hour/10-Day Contribution Report).

The Form 460 must be amended within 70 days from its closing date to disclose the missing contributor information unless the contribution is returned to the contributor. The Form 497 need not be amended.
The committee also must note in its records the date the contributor information is received, if that date is different than the date the contribution is received.

When a contribution cannot be returned to the contributor within 60 days from the date the contribution was received, the contribution amount must be paid to the general fund of the local jurisdiction in which the committee is based. In the case of a Superior Court judge or a judicial candidate, the contribution must be paid to the Secretary of State for deposit in the State General Fund.

If a contribution is returned to the contributor by check and the check is not cashed by the contributor within 90 days, the contribution amount must be paid within 30 days to the general fund of the local jurisdiction or to the Secretary of State for deposit in the State General Fund.

**Intermediaries and Earmarked Funds**

For contributions of $25 or more made through an intermediary (see Chapter 3), records with the above information for both the intermediary and the contributor are required.

Records must also include the amount of earmarked funds, a notation that the funds have been earmarked, and the specific ballot measure, candidate or committee for which the funds have been earmarked.

A committee making contributions with earmarked funds must maintain documentation showing which earmarked funds were contributed.

**Affiliated Entities**

Information from affiliated entities (see Chapter 3) that describes the connection of affiliated contributors must be maintained in the records.

**Nonmonetary Contributions**

If the contribution is nonmonetary and valued at $25 or more, a description and the fair market value of the contribution must be recorded. (See “Valuing Nonmonetary Contributions” in Chapter 3.)
**Loans Received**

If the contribution is a loan of $25 or more, in addition to the above information for monetary contributions, the following information must be recorded:

- Interest rate of the loan, if any;
- Due date of the loan, if any; and
- Name and street address of any guarantor and the amount guaranteed, if any. The occupation and employer of any individual who guarantees a loan of $100 or more must also be recorded.

If a candidate receives a loan from a commercial lending institution for his or her campaign, the institution is reported as the source of the loan. The candidate does not have to be reported as the guarantor, even if he or she is personally liable.

**Documentation for Contributions Received and Other Receipts**

The committee must keep copies of all documents reflecting deposits made and all records reflecting campaign bank account balances, such as bank statements, check registers, and passbooks.

The following documents produced or received by the committee also must be kept for receipts of $25 or more: copies of contributor checks; contributor cards; letters of transmittal; notices received from contributors; memoranda or other records that describe the method used to determine the fair market value of donated goods or services (nonmonetary contributions); and loan agreements or other documents that reflect indebtedness.

Documentation for electronic transactions must include information collected when debiting the contributor’s account, such as itemized transaction reports (including the credit card confirmation number), debit/credit account transaction records, and credit card receipts, or vouchers. Documentation of contributions received over the Internet must include a record of the transaction created and transmitted by the cardholder including the cardholder’s name, street address and the last four digits of the card number.
For contributions or other receipts of $100 or more, copies of any letters or other communications sent by the committee to obtain the documents listed above must be kept.

**Expenditures Made**

**Expenditures: Under $25**

A daily lump sum total of all expenditures of less than $25 must be kept.

**Expenditures: $25 or More**

For expenditures of $25 or more to a single payee, or a series of payments for a single product or service that total $25 or more, the following must be recorded:

- Full name and street address, including zip code, of payee;
- Expenditure amount;
- Date each expenditure was made or, in the case of accrued expenses, the date the goods or services were received; and
- Description of the goods or services received.

**Contributions to Other Committees and Independent Expenditures**

For expenditures that are contributions or independent expenditures, the amount of the expenditure and the cumulative total paid in that calendar year in connection with the candidate, officeholder, committee, or ballot measure must be recorded.

For all such expenditures of $25 or more, the following information is required:

- Date the contribution or independent expenditure was made;
- Whether the expenditure was an independent expenditure;
• Name of the officeholder or candidate and the office and
district he or she holds or for which he or she seeks nomination
or election, or the number or letter of the measure and the
jurisdiction in which the measure is to be voted on; and

• Cumulative amount spent on behalf of the candidate, measure,
or committee.

Loans Made to Others

The following additional information must be kept for loans made by
the committee: interest rate, if any; due date, if any; and full name
and street address of anyone guaranteeing the loan or who is liable
directly, indirectly, or contingently for the loan. (For restrictions on
loans to others. (See Chapter 5.)

Expenditures for Gifts, Meals and Travel

A candidate controlled committee that makes an expenditure of $100
or more for a gift, meal, or travel, must keep a dated memorandum or
some other form of dated written record containing a brief description
of the political, legislative, or governmental purpose of the expenditure,
as well as the information described below:

• Gifts: The date of the expenditure, a description of the gift,
and the name of any recipient who received a benefit of $50 or
more.

• Meals: The date of the meal, the name of each individual
who attended the meal, and whether he or she is a member
of the candidate's household or someone who has authority to
approve expenditures of campaign funds.

• Travel: The dates of travel, the destination, the name of each
individual who traveled, and whether he or she is a member
of the candidate's household or someone who has authority to
approve expenditures of campaign funds.
Documentation for Expenditures

All bank and credit card records for expenditures must be kept.

For expenditures of $25 or more, canceled checks, bills, invoices, or statements; receipts; credit card charge slips; vouchers; contracts; loan agreements; and other documents produced or received by the committee reflecting additional obligations also must be kept. Copies of canceled checks may be retained if the copies contain a legible image of the front and back of the canceled check and the copies are obtained from the financial institution.

If no receipt, voucher, or invoice is available, a voucher should be written as soon as possible with the date and amount of the payment, the name of the payee, and a description of the goods or services received. A voucher is not required for payments under $25.

G. Mass Mailings, Mass Emails, Telephone Calls, and Notices to Contributors of $5,000 or More

The following must be retained for a period of four years following the date the campaign statement relating to the records is filed:

- **Mailers.** A copy of any mass mailing sent by the committee (see Chapters 6 and 7).

- **Mass Emails.** An original sample of each mass email, the date sent and the number of individual emails sent (see Chapter 7).

- **Political Calls.** A script of the call or a copy of the recorded phone message when the committee coordinates on and pays for 500 or more telephone calls to expressly advocate support for a candidate or ballot measure (see Chapter 6).

- **Major Donor Notices.** A copy or record of all notifications to contributors of $5,000 or more (see Chapter 3).
Answering Your Questions

A. May the candidate serve as the committee’s treasurer?

Yes. The candidate may serve as the treasurer or assistant treasurer.

B. Are there private firms that provide treasurer or campaign reporting services?

Yes. The FPPC does not endorse or recommend any particular private firm. Candidates may find useful information on the websites of the California Political Attorneys Association and the California Political Treasurers Association.

C. Are there any specific accounting qualifications for someone to be able to serve as treasurer?

No. However, no individual should accept the position as a mere figurehead.

D. What should be done if the treasurer and assistant treasurer, or the candidate, are not able to sign a campaign statement before the deadline?

To ensure that the statement is filed on time, the committee may submit the filing if it is signed by one of the following: the candidate, treasurer, or assistant treasurer. If the candidate’s signature is missing, submit an amendment to provide his or her signature as soon as possible. Likewise, if both the treasurer and assistant treasurer are unavailable, submit an amendment to provide the required signature as soon as possible.
E. I do not intend to raise any funds from others and I will not be spending any personal funds on my campaign other than the payments for the filing fee and ballot statement fee. Do I need to open a campaign bank account?

No.

F. I do not intend to raise any funds from others. I will be spending personal funds on my campaign, but I will not be spending $2,000 or more. Do I need to open a bank account?

No.

G. I do not intend to raise any funds from others. I will, however, be spending $2,000 or more of my personal funds on my campaign, not including the amount I spend on my filing fee. Do I need to open a bank account?

Yes. Since you plan to spend $2,000 or more for your campaign, you must open a campaign bank account.

H. I will be raising money from others for my campaign, but I do not intend to raise or spend $2,000 on my campaign during the calendar year. Do I need to open a bank account?

Yes. Since you are raising funds from others, even though you will not be raising or spending $2,000 or more, you are required to open a campaign bank account. Contributions received and personal funds you will use for your campaign must be deposited in the account.
I. Are committee records and source documentation required to be kept on paper, or may the committee use an electronic recordkeeping system?

Electronic records are permitted, provided that all of the required information is collected and recorded in a timely and uniform manner that ensures the accuracy and reliability of the information. Committees are responsible for ensuring that electronic records can be read and/or printed for auditing purposes during the applicable retention period.

J. May a private service, such as PayPal, be used to collect contributions electronically?

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.
Authority

The following Government Code sections and Title 2 regulations provide authority for the information in this chapter:

Government Codes Sections

82047.6 Principal Officer.
84100 Treasurer.
84104 Recordkeeping.
84105 Notification of Contributors.
84302 Contributions by Intermediary of Agent.
84305 Requirements for Mass Mailing.
84306 Contributions Received by Agents of Candidates or Committees.
84307 Commingling with Personal Funds.
84310 Identification Requirements for Telephone Calls.
84501 Advertisement.
85304.5 Legal Defense Fund; Local Candidates and Elected Officeholders.
85700 Donor Information Requirements; Return of Contributions.
90000 Responsibility.
90001 Mandatory Audits and Investigations.
90002 Audits and Investigations; Time.
90003 Discretionary Audits.
90007 Auditing Guidelines and Standards.

Title 2 Regulations

18401 Required Recordkeeping for Chapters 4 & 5.
18402.1 Principal Officers.
18421.1 Disclosure of the Making and Receipt of Contributions.
18421.2 Street Address.
18421.3 Reporting of Contributions and Expenditures Collected by Contract Vendors or Collecting Agents.
18421.31 Text Message Contributions.
18421.7 Reporting an Expenditure for a Gift, a Meal, or Travel.
18426.1 Assistant Treasurer.
18427 Duties of Treasurers and Candidates with Respect to Campaign Statements.
18427.1 Notification to Contributors of Filing Obligations.
18432.5 Intermediary and Earmarked Funds Disclosure.
18440 Telephone Advocacy.
18524 Investment and Expenditure of Candidates’ Campaign Funds.
18530.45 Legal Defense Funds – Local Candidates and Officers.
18570 Return of Contributions with Insufficient Donor Information.
18994 Auditing and Investigations.
18995 Standards and Guidelines for Auditing Statements and Reports.
Contributions

This chapter begins with the definition of “contribution” and provides guidelines necessary for proper reporting, including a discussion on valuing nonmonetary contributions.

The Act does not contain contribution limits for local candidates; however, many cities and counties have adopted campaign ordinances that include contribution limits and other restrictions. Check with your local elections or ethics agency.

A. What is a Contribution?

A “contribution” is a monetary or nonmonetary payment received by a candidate or committee for which the candidate or committee has not provided full and adequate consideration in return. A contribution may take any of the following forms:

- Money (cash, check, credit card, wire transfers, text contributions).
- Nonmonetary items (donated goods or services, discounts).
- Payments made by a third party for advertising or other communications coordinated with the committee.
- Loans (including loan guarantees, co-signing, and lines of credit).
- Money, nonmonetary items, and loans from the candidate to his or her own committee or from the candidate’s family.
- Enforceable promises to make a payment (for example, a contributor promises, in writing, to pay for specific goods or services and, based on that written promise, the committee expends funds or enters into a legally-enforceable contract to purchase the goods or services).

Contributions of $100 or more may never be made or received in cash.

Quick Tip
B. When is a Contribution Received?

A monetary contribution is received on the date the candidate, committee, or an agent of the committee, obtains possession or control of the cash, check, or other item that constitutes the contribution.

When an agent of the committee, such as a campaign consultant, receives a contribution for the committee, the agent must notify the treasurer no later than the closing date of the next campaign statement due. The date of the contribution is the date the agent obtained possession of the contribution.

A nonmonetary contribution is received on the earlier of the following:

- The date funds were expended by the contributor for the goods or services;
- The date the candidate, committee, or an agent of the committee obtained possession or control of the goods or services; or
- The date the candidate or committee received the benefit of the expenditure.

A nonmonetary contribution of employee services is made by the contributor and received by the candidate or committee on the payroll date of the employee. See the discussion later in this chapter for information about how to value a contribution of employee services.

An enforceable promise is received on the date the candidate, committee, or an agent of the committee, receives documents verifying that a contributor has made a legally enforceable promise to make a payment. A person makes an “enforceable promise to make a payment” if he or she:

- Guarantees, furnishes security for, endorses or cosigns a loan.
- Makes and delivers a post-dated check.
• Establishes a line of credit at a bank or other commercial lending institution for a candidate or committee.

Exceptions: A pledge card is not considered an enforceable promise to make a payment. “Enforceable promise” also does not include a contributor’s agreement to make future installment payments through wire transfer, credit card transaction, debit account transaction, or similar electronic payment.

C. Contribution Exceptions

There are many exceptions to the definition of “contribution.” In addition to the most common exceptions listed below, Chapter 6 discusses certain types of communications that are not considered contributions.

Volunteer Personal Services: If an individual donates his or her personal or professional services to a campaign (including a volunteer’s travel expenses), no contribution has been made or received as long as there is no understanding of reimbursement.

However, if an employer donates employee services to a campaign, and any employee spends more than 10 percent of his or her compensated time in a calendar month performing campaign activity for one or more campaigns, the employer has made a nonmonetary contribution to the committee. Determine the contribution amount by allocating the gross salary to the time spent on campaign activity. See “Employee Time” later in this chapter for additional information.

Home/Office Fundraisers: If a person, other than a lobbyist (or a cohabitant of a lobbyist) or lobbying firm, holds a fundraiser or other campaign event in his or her home or office, the costs incurred by the occupant of the home or office need not be reported as long as the total cost of the event is $500 or less. However, if someone else donates food, beverages, or anything else of value to the event, the fair market value of those donated goods is a nonmonetary contribution. In addition, the donated goods must be counted to determine whether the total cost of the event is $500 or less.

Quick Tip

For the home/office fundraiser contribution exception to apply, the total cost of the event must be $500 or less no matter how many candidates or committees benefit from the event.
**Note:** The home/office fundraiser exception does not apply to a state lobbyist or to a cohabitant of a state lobbyist. A registered state lobbyist may not make a contribution to an elected state officer or candidate for elective state office if the lobbyist is registered to lobby the official’s agency or the agency for which the candidate is seeking election. A fundraiser held in the home of a lobbyist is considered a contribution; therefore, a lobbyist is prohibited from holding a fundraiser in his or her home for a candidate seeking election to a governmental agency that the lobbyist is registered to lobby. A similar prohibition applies to lobbying firms holding fundraisers at their offices.

**Social Media – Internet Communications:** Uncompensated Internet activity by an individual, such as sending or forwarding electronic messages, social networking, blogging, creating or hosting a website, to support or oppose a candidate or ballot measure is not considered a contribution or expenditure. Certain Internet communications require advertisement disclosures as outlined in Chapter 7.

**Member Communications:** Payments made by an organization (including a political party, union, trade association) for certain communications that are sent only to the organization’s members, employees, or shareholders, or their families, are not contributions to a candidate endorsed in the communications. For example, if a union sends a mailing to only its membership, supporting your campaign, the cost of the mailing is not a reportable contribution.

**Gifts:** A payment or other benefit to a candidate or official that is made principally for personal purposes (not political purposes) is a gift unless the candidate or official provides payment or services of equal or greater value. Generally, gifts are subject to annual limits and must be disclosed by the candidate or official on a Form 700 (Statement of Economic Interests). For additional information about gifts, see the fact sheet on the FPPC’s website entitled, *Limitations and Restrictions on Gifts, Honoraria, Travel and Loans*.

**Payments for Legislative, Governmental, or Charitable Purposes:** Behested payments made in connection with a legislative, governmental, or charitable purpose, are not considered to be made for political or personal purposes; therefore, they are not considered
contributions or gifts. However, if the payment is made at the behest of an elected official and the payment(s) totals $5,000 or more from a single source in a calendar year, the official is required to file a Form 803 (Behested Payment Report) as described in Chapter 11.

**D. Aggregating Contributions**

Contributions received from certain combinations of individuals and entities must be added together to determine the total amount that will be treated as received from a single contributor.

The following contributions are aggregated:

- Contributions from an individual’s personal funds and contributions made by an entity when the individual directs and controls the entity’s contributions.

- Contributions from two or more entities that are directed and controlled by a majority of the same persons.

- Contributions made by entities that are majority owned by any person. Contributions made by the majority owner and all other entities majority owned by that person are aggregated, unless those entities act independently in their decisions to make contributions.

The following examples provide general guidance regarding aggregation of contributions. The FPPC may be contacted for advice related to your specific facts.

**Ex 3.6** - Sally Perez contributed $98 from her personal funds and another $98 from the funds of her wholly-owned business, Flowers by Sally Perez, to the Anderson Committee. Because contributions from an individual and his or her business, or from any other account he or she directs and controls, are considered to be from a single contributor, the Anderson Committee must itemize both contributions and report a cumulative amount received from Sally and her business of $196 on its committee campaign statement.
E. Reporting the Intermediary of a Contribution

An intermediary is a person or entity that makes a contribution on behalf of another person. For example, an employee who is reimbursed for a contribution by his/her employer is not the true source of the funds, but the intermediary of the employer’s contribution.

A committee receiving a contribution of $100 or more from an intermediary must report the true source and the intermediary. The campaign statement will identify both the intermediary’s and the true source’s name and address, and, if applicable, the occupation and employer.

Failure to disclose the true source of a contribution is considered one of the most serious violations of the Political Reform Act.
Candidates and committees are required to check and, if necessary, correct any information regarding the true source of a contribution that a person of reasonable prudence would question based on all of the surrounding circumstances. If there is reason to question the source of a contribution (e.g., there is reason to believe the information contained on the contribution check does not contain the name of the person who is actually making the contribution), the donor should be asked if he or she is acting as an intermediary for the true source of the contribution.

This manual cannot address all scenarios that may need to be questioned, but it is prudent to question unusually large contributions from sources unfamiliar with the candidate or his/her agents; a series of contributions from a single employer; and, significant contributions from a nonprofit organization or multipurpose organization that is not registered as a political committee on the Secretary of State’s website.

F. Reporting Various Types of Contributions

**Electronic Receipt of Contributions:** Contributions may be received by credit card, wire transfer, via the Internet, cell phone text message, telephone, debit account transaction, or similar electronic payment options. All of the reporting and recordkeeping requirements apply to these contributions. Some tips are:

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**Ex 3.10** - Berry and Vienna each made a $100 contribution from their personal funds to support Tina Baker for city council, with the understanding that they would be reimbursed by their employer. Berry and Vienna must tell the committee that they are acting as intermediaries on behalf of their employer. The committee must itemize the $200 contribution from the employer and also disclose Berry and Vienna as intermediaries.

**Ex 3.11** - A business collects ten contributions of $200 each earmarked for a candidate’s campaign. The business deposits the contributions and provides the campaign committee one check from the business rather than providing ten individual checks. The committee reports the business as an intermediary and the individuals as the contributors.
• For contributions of $25 or more, the committee treasurer should make sure that a copy of the credit card voucher or other documentation is sent to the committee as soon as practicable after the contributions are made.

• The entire amount charged to the contributor is reported as a contribution.

• Fees associated with this type of fundraising or deducted by the vendor before the contributions are sent to the committee are reported as expenditures. The fees are not deducted from the amount of each contribution reported.

• Contributions made by text message are received on the date the mobile device company receives the funds from the contributor, not the date the text was sent.

Earmarked Contributions

A contribution to a committee that is earmarked for a contribution to any other particular committee, ballot measure, or candidate is required to be disclosed as outlined below.

A contribution is earmarked if it is made under any of the following circumstances:

• The committee or candidate receiving the contribution solicited the contribution for the purpose of making a contribution to another specifically identified committee, ballot measure, or candidate, requested the contributor to expressly consent to such use, and the contributor consents to such use.

• The contribution was made subject to a condition or agreement with the contributor that all or a portion of the contribution would be used to make a contribution to another specifically identified committee, ballot measure, or candidate.
After the contribution was made, the contributor and the committee or candidate receiving the contribution reached a subsequent agreement that all or a portion of the contribution would be used to make a contribution to another specifically identified committee, ballot measure, or candidate.

However, there is an exception for dues, assessments, fees, and similar payments made to a membership organization or its sponsored committee in an amount less than five hundred dollars ($500) per calendar year from a single source for the purpose of making contributions or expenditures. Such funds are not considered to be earmarked by each individual contributor, instead the membership organization is to be reported as the source for these funds.

The committee making an earmarked contribution shall provide the committee receiving the earmarked contribution with the name and address and, if applicable, the occupation and employer of the contributor who earmarked their funds and the amount of the earmarked contribution at the time it makes the contribution. If the committee making the contribution received earmarked contributions that exceed the amount contributed, or received contributions that were not earmarked, the committee making the contribution shall use a reasonable accounting method to determine which contributors to identify, but in no case shall the same contribution be disclosed more than one time to avoid disclosure of additional contributors who earmarked their funds.

Fundraisers: The full amount (face value) of a fundraiser ticket is a reportable contribution, unless it is a joint committee/charity fundraiser advertised with specific attribution. The costs of the event are not subtracted when determining the amount of the contribution.

Auctions and Garage Sales: When items are donated for auction or sale at a fundraiser, the donated item is a nonmonetary contribution. (See below for determining the value.) When someone buys an item, the payment is considered a “Miscellaneous Increase to Cash” and is reported as such. If any person or entity pays $100 or more, the payment is itemized.

Ex 3.13 - A restaurant donates a dinner for four worth $200 to your committee. At your committee’s auction, Gloria Sanchez bids $300 and wins the dinner for four. Itemize $200 as a nonmonetary contribution from the restaurant on Schedule C of the Form 460. Itemize Ms. Sanchez on Schedule I of the Form 460 ($200 miscellaneous increase to cash) and on Schedule A of the Form 460 as a contributor of $100 (the amount over the fair market value).
When someone pays more for an item than it is worth, the amount that is equal to the fair market value is reported as a miscellaneous increase to cash and the amount over the fair market value is reported as a monetary contribution. Each is itemized at $100.

**Bar Receipts**: Funds received by selling drinks at a fundraiser at fair market value are reported as miscellaneous increases to cash, not contributions.

**Raffle Tickets**: Receipts from the sale of raffle tickets at a fundraiser are reported as contributions. Items donated for raffle prizes are reported as nonmonetary contributions. (Note that Penal Code section 319 imposes some restrictions on raffles. Contact your county’s district attorney for further information.)

**Joint Checking Accounts**: Individuals (including spouses) may make separate contributions from a joint checking account. For reporting purposes, the full amount of the contribution is reported as coming from the individual who signs the check. If two or more individuals sign the check, the contribution is divided equally between or among the signers, unless there is an accompanying document signed by each individual whose name is printed on the check that clearly indicates a different apportionment.

A check drawn on a joint checking account that is signed by an individual not listed on the check (e.g., an accountant) must be accompanied by a document signed by at least one of the individuals listed on the check stating to whom the check is to be attributed.

**Business Accounts**: Generally, if a check is drawn on the account of a business entity, the contributor is the business entity, not the person who signs the check.

**Minor Children**: A contribution made by a child under the age of 18 is presumed to be a contribution from his or her parent or guardian.

**Text Contributions**: For a contribution received by a text message, the contributor is the person who is subscribed to the cell phone number that texted the contribution.
**Transfers from a Prior Campaign:** Candidates who have more than one campaign bank account and controlled committee may transfer funds from one account/committee to another so long as the funds are not “surplus funds.”

Leftover funds become surplus upon the 90th day after leaving an elective office, or the 90th day following the end of the postelection reporting period following the defeat of a candidate for elective office, whichever occurs last. See Chapter 8 for information about how to report transferred funds.

Chapter 11 includes a discussion about the rules for using leftover campaign funds for a future election.

**Contributions from the Candidate:** A payment from a joint checking account that bears the name of the candidate and spouse is considered a contribution from the candidate. This is true even if the spouse signs the check.

A contribution received from a spouse’s legally separate funds and signed by the spouse is considered to be made by the spouse and is subject to possible contribution limits and other applicable provisions of the Act.

A candidate’s business, other than a sole proprietorship, is considered a separate legal entity. Therefore, contributions from the business are not considered to be the candidate’s personal funds and may be subject to local contribution limits. Generally, contributions from a candidate’s sole proprietorship to the candidate are not considered to be from a separate entity and are therefore not subject to contribution limits, if any. Note: Contributions to another candidate or committee from the candidate and his or her sole proprietorship are aggregated for purposes of contribution limits. (See *Burch* Advice Letter, No. A-14-032.)

**Contributions from Other Candidates:** Candidates and committees may receive contributions, subject to contribution limits, if any, from other candidates or officeholders.
**Undesignated Contributions:** Candidates who are soliciting contributions for more than one office and receive a contribution that has not been designated for a specific office may deposit the contribution in any of their campaign bank accounts. An undesignated monetary contribution must be reported on the campaign statement for the reporting period in which it is received, and must be deposited in the campaign bank account for the controlled committee to which it is being allocated within 30 days of receipt.

Undesignated nonmonetary contributions must be allocated to a particular committee within 30 days of receipt or by the reporting deadline for the reporting period in which the contribution is received, whichever is earlier.

**G. Valuing Nonmonetary Contributions**

This section provides assistance in determining how to value nonmonetary contributions so that they may be reported accurately. The varieties of nonmonetary contributions are vast, so it is not possible to present all possibilities. Contact the FPPC for assistance.

**Fair Market Value:** When a nonmonetary contribution is received, the fair market value of the goods or services (the amount it would cost a member of the public to purchase the goods or services) must be reported. If the committee does not know the fair market value of a nonmonetary contribution (e.g., an original piece of artwork), the committee may send an email or a letter requesting that the contributor provide the value of the contribution in writing. The contributor is legally required to provide an amount if the value of the contribution is $100 or more.

**Employee Time:** If an employer donates the use of an employee to work on campaign activities for one or more campaigns, the amount the individual is paid is reportable as a nonmonetary contribution from the employer if the employee spends more than 10 percent of his or her compensated time in a calendar month working on campaign activity. To determine the contribution amount, the gross compensation is allocated to the time spent on campaign activity. Compensation includes wages paid and any benefits in lieu of wages,

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**Ex 3.16** - The owner of an electronics store donates an iPad valued at $550 to your committee for sale at an upcoming auction. Although the cost to the owner is less than $550, the nonmonetary contribution is reported at the fair market value amount of $550 (the amount it would cost a member of the public to purchase the iPad).

**Ex 3.17** - An accounting firm provides your committee with the services of an accountant. The accountant spends 25 percent of her time working for the campaign. This percentage of her gross compensation is $2,000. The amount of the nonmonetary contribution reported from the accounting firm is $2,000.
such as stock options or an annuity purchase. Compensation does not include routine benefits, such as the employer’s payments to a health care or retirement plan.

**Discounts:** If the committee receives a discount on goods or services it purchases and the discount is not offered to the public in the regular course of business, the discount is a nonmonetary contribution that must be reported.

**Private Air Transportation:** A person who provides a candidate with a flight in a private airplane is making a nonmonetary contribution. The value is determined by using either the commercial rate to the destination, if available, or the charter rate divided by the number of passengers on the flight.

**Email Lists:** If a list of email addresses is donated, the fair market value must be reported as a nonmonetary contribution.

**Corporate Stock:** The contribution of corporate stock must be reported and valued as listed on the stock exchange on the date of receipt. When the stock is sold, the total proceeds of the sale are reported on Schedule I as a miscellaneous increase to cash. If the purchaser is unknown, report the brokerage firm as the source with a notation that the payment represents the sale of stock. Broker’s fees must be reported on Schedule E.

**H. Valuing Mailings, Telephone Banks, Polls**

Generally, the fair market value of a communication is reported as a contribution when it expressly advocates support of or opposition to a candidate and was made at the behest of (or in coordination with) the affected candidate or primarily formed committee.

**Multiple Candidates/Measures:** If a communication expresses support of or opposition to more than one candidate or ballot measure, the fair market value attributable to each may be calculated by prorating the costs among the featured candidates and ballot measures. The prorated value is based on the amount of space allotted to each candidate or measure supported or opposed in the mailer.
The value of a mailer that supports or opposes candidates and measures being voted on in different jurisdictions may be prorated based on the number of mailers sent to each candidate or ballot measure’s jurisdiction.

**Political and Non-Political Material:** The cost of a communication containing both express advocacy in support of or opposition to a candidate, as well as non-political material, may be prorated. Costs directly associated with the political message are reportable by the candidate, including, for example, compensation paid to employees who spend more than 10 percent of their compensated time in a calendar month producing or mailing the political materials, and the pro rata cost of paper, envelopes, and postage. The allocation may be based on the comparative number of pages or the comparative amount of weight between the political and non-political materials.

**Bulk Rate Permits:** Use of an organization’s bulk rate permit is a nonmonetary contribution from the organization. If the committee pays the actual postage costs incurred under the bulk rate permit, the fair market value of the contribution is either:

- The price the organization paid for the bulk mailing permit; or
- The difference in postage costs between the bulk mailing rate and that of regular mail.

**Phone Banks:** Businesses and other entities will sometimes allow a committee to use their phones to call prospective voters during non-business hours. The fair market value of the use of the phones is calculated to determine the amount reported as a nonmonetary contribution, even if only local calls are made. One method to determine the fair market value is to contact organizations that provide phone banks as a business. Note: Disclosures are required on certain paid telephone calls. (See Chapter 7.)

**Polls and Surveys:** A person or entity that provides data from a public opinion poll or survey to a candidate or committee is making a nonmonetary contribution if the candidate or committee requests the data or the data are used for political purposes. Standards used by the Federal Election Commission (11 CFR 106.4) may be used for

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**Ex 3.20** - A Chamber of Commerce produces and mails a one-page flyer urging voters to vote for supervisor candidate Smith and vote against two ballot measures. Half of the flyer is devoted to supporting candidate Smith and the other half equally opposes the two measures. The Chamber coordinates the mailing with candidate Smith. The total cost of producing and mailing the flyer was $10,000. Candidate Smith must report a nonmonetary contribution of $5,000 from the Chamber.
valuing polling or survey data. The formula is based on the age of the data. The chart below illustrates the fair market value of data based on the number of days that pass from the date the entity originally received the data to the date the data were provided to the candidate or committee.

<table>
<thead>
<tr>
<th>Age of Data</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 - 15 days</td>
<td>Full Value</td>
</tr>
<tr>
<td>16 - 60 days</td>
<td>50%</td>
</tr>
<tr>
<td>61 - 180 days</td>
<td>5%</td>
</tr>
<tr>
<td>More than 180 days</td>
<td>No Value</td>
</tr>
</tbody>
</table>

When only a portion of a survey is provided to or for the benefit of a candidate or committee, the nonmonetary contribution is the prorated portion of the total value of the survey.

I. Notification to Contributors of $5,000 or More

Committees that receive one or more contributions totaling $5,000 or more in a calendar year from an individual or entity that made the contribution(s) from personal, business, corporate, or general funds must send the contributor written notice that they may have a filing obligation.

Generally, the notice must be mailed, faxed or emailed to the contributor **within two weeks** of receiving contributions totaling $5,000 or more. But, if a contribution of $10,000 or more is received in the 90 days prior to or on the date of the election, the notice must be mailed, faxed or emailed to the contributor **within one week**. A copy of each notice or a record of all notices showing the date sent and the name and address of the person receiving the notice must be retained.

The notice does not need to be sent again for subsequent contributions received from the same contributor in the same calendar year. In addition, the notice is not required to be sent if the source of the contribution is a candidate, officeholder, or an existing committee because they already are required to file campaign statements.

**Ex 3.21** - A local business association commissioned a public opinion poll to determine voters’ attitudes about candidates running for Supervisor and candidates running for City Council. The association provided the poll results to a candidate for Supervisor and certain City Council candidates. Since only a limited number of questions pertained to City Council issues, the candidates for Supervisor who received the poll results may prorate the poll costs to determine the nonmonetary contribution amount they must report.
The notice may be tailored as long as it contains language substantially similar to the language below:

**Major Donors**

If your contribution(s) to this committee and to other California state or local committees total(s) $10,000 or more in a calendar year, California law requires you to file a Major Donor Committee Campaign Statement (Form 461). The deadline and location for filing this statement will depend upon the timing and type of contribution(s) you have made. For additional information, visit www.fppc.ca.gov and review the available campaign materials.

**Multipurpose Organizations Including Nonprofits**

If your organization is a multipurpose group, it may qualify as a major donor committee required to file Form 461 or as a recipient committee required to file the Form 460 disclosing donors. Refer to Government Code Section 84222 and FPPC Regulation 18422 to determine your filing requirements. For additional information, visit www.fppc.ca.gov and review the available campaign materials.

**24-Hour/10-Day Reports**

Major donors, nonprofits, and other multipurpose organizations that trigger reporting obligations must also file a 24-Hour/10-Day Contribution Report (Form 497) if they:

- Make contributions totaling $1,000 or more to a single candidate, any of the candidate’s controlled committees, or to a committee primarily formed to support or oppose a candidate or ballot measure during the 90 days prior to the election, or on the date of the election, in which the candidate or ballot measure is being voted on; or

- Make contributions totaling $1,000 or more to state or county political party committees during the 90 days prior to a state election, or on the date of the election, including state special elections.

Quick Tip

Once contributions of $10,000 or more are made, the major donor may be required to immediately file Form 497 (24-Hour/10-Day Contribution Report). Committees should provide donors the link to the appropriate FPPC filing schedule.
### Electronic Filing

State committees that make contributions of $25,000 or more must file electronically with the Secretary of State. State committees that are required to file the Form 497 (24-Hour/10-Day Contribution Report) must file this form electronically even if the $25,000 threshold has not yet been met. For more information on the electronic filing requirements, contact the Secretary of State’s office at (916) 653-6224. Local committees should contact the local jurisdiction to determine if there are electronic filing requirements.

### Late Filing Penalties and Fines

Failure to file campaign statements may result in late filing penalties of $10/day (state committees may be fined $20/day if they must file electronically and on paper) and fines of up to $5,000 per violation.

### FPPC Assistance

For assistance with your filing obligations, contact the Fair Political Practices Commission toll-free at (866) ASK-FPPC, send an email to advice@fppc.ca.gov, or refer to their website: www.fppc.ca.gov.

### J. Returning Contributions

There are several provisions in the Act and FPPC regulations that regulate the return of contributions. The general rule is that a committee may return all or part of a contribution to the contributor so long as the return is reasonably related to a political, legislative, or governmental purpose.

#### General Rules:

If a contribution is deposited, cashed or negotiated, it must be disclosed on the next campaign statement, even if it is subsequently returned. If a contribution is not deposited, cashed, or negotiated, it is not required to be reported under the following circumstances:
• Outside the 90-Day Election Period: A contribution is not required to be reported (by the donor or the committee receiving the funds) if it is not deposited, cashed, or negotiated and it is returned to the contributor before the closing date of the campaign statement on which it would otherwise be reported.

• During the 90-Day Election Period: A contribution of $1,000 or more received during the 90 days before an election, including the date of the election, is not required to be reported (by the donor or the committee receiving the funds) if it is not deposited, cashed, or negotiated and it is returned to the contributor within 24 hours of receipt.

Missing Contributor Information: A contribution of $100 or more must be returned within 60 days of receipt if the committee has not obtained the contributor’s name, address, and, in the case of a contributor who is an individual, his or her occupation and employer. If the committee returns the contribution for lack of information, and the check is not cashed by the contributor within 90 days, the committee must, within the next 30 days, forward the amount to the general fund of the local jurisdiction.
Answering Your Questions

A. Our committee is holding a $200 per person dinner fundraiser. The actual cost of the event to our committee will be $75 per person. When someone pays $200 to attend the dinner, do we subtract the $75 cost to our committee and report receiving a $125 contribution?

No. Report the full amount paid for the fundraiser ticket ($200) as the contribution. The costs to the committee will be reported on Schedule E (Expenditures) of the Form 460.

B. When we send out a fundraising letter, are we required to put our committee identification number on the invitation?

There is no requirement to include the committee identification number, but it is highly recommended. Many campaigns do so because others need the information for their own reporting forms.

C. We would like to hold a raffle at our next fundraiser. Are there any restrictions on raffles?

The Political Reform Act does not restrict raffles; however, Penal Code 319 does prohibit certain raffles. The Penal Code is interpreted and enforced by each county’s district attorney. Contact the local district attorney where the raffle will be held for further information. Of course, be sure all of the reporting and recordkeeping requirements are met.

D. If my next door neighbor spends $1,000 on an event to help raise funds for two different candidates and the event is held in her home, has she made a contribution to each committee?

Yes. The total cost of a home fundraiser must be $500 or less or the event will qualify as a nonmonetary contribution. This is true no matter how many committees benefit from the event.
E. If I hold a fundraiser in my home for my candidacy, and the total cost is $500 or less, would the home/office fundraiser exception apply, meaning nothing would need to be reported on the Form 460?

No. A candidate must deposit any personal funds that will be used to promote his or her election into the campaign bank account. Therefore, any expenditures made for the fundraiser must be reported on your Form 460.

F. May a nonprofit organization hold a joint fundraiser with a political committee?

Yes. However, any costs incurred by the nonprofit organization which are not reimbursed by the political committee would be considered to be a nonmonetary contribution from the nonprofit to the political committee. The nonprofit organization should contact the IRS for any possible restrictions based upon the organization’s tax status.

G. 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?

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.
H. Three candidates wish to conduct individual polls. A polling firm has offered a reduced rate because all three polls can be combined using one very large sample. Are the candidates receiving contributions from the polling firm because of the discounted fee, and are the candidates making contributions to each other?

To the extent each candidate pays only his or her share of the cost of the poll, the candidates are not making contributions to each other. Additionally, if the polling firm provides the discount as part of its standard business policy of providing discounts in similar situations and does not provide the discount for political purposes, the candidates will not receive a contribution from the polling firm.

I. A committee receives a contribution from a joint checking account signed by one of the individuals. The contribution exceeds local limits. If the committee later receives a document stating that the contribution is from both individuals, may the contribution be reported that way?

No. A document must accompany the contribution at the time the contribution is received in order for the contribution to be reported from both individuals. This is true for contributions made by check or electronic means.

J. If a potential donor takes me out to dinner to discuss my school board campaign and pays for my meal, do I report the meal as a nonmonetary contribution?

No. Because there is a personal benefit to you, the payment for the meal would be considered a gift to you, not a contribution.
Authority

The following Government Code sections and Title 2 regulations provide authority for the information in this chapter:

**Government Code Sections**

82004.5 Behested Payment.
82015 Contribution.
82018 Cumulative Amount.
82025 Expenditure.
82025.5 Fair Market Value.
82036 Late Contribution.
82041.3 Made at the Behest of.
82047 Person.
84105 Notification of Contributors.
84211 Contents of Campaign Statement.
84216 Loans.
84300 Cash and In-Kind Contributions; Cash Expenditures.
84302 Contributions by Intermediary or Agent.
84306 Contributions Received by Agents of Candidates and Committees.
85308 Family Contributions.
85311 Affiliated Entities; Aggregation of Contributions.
85312 Communications to Members of an Organization.
85700 Donor Information Requirements; Return of Contributions.
85704 Prohibition on Earmarking.

**Title 2 Regulations**

18215 Contribution.
18215.1 Contributions; When Aggregated.
18215.2 Uncompensated Internet Activity by Individuals that is not a Contribution or Expenditure.
18216 Enforceable Promise to Make a Payment.
18421.1 Disclosure of the Making and Receipt of Contributions.
18421.3 Reporting of Contributions and Expenditures Collected by Contract Vendors or Collecting Agents.
18421.31 Text Message Contributions.
18423 Payments for Personal Services as Contributions and Expenditures.
18427.1 Notification to Contributors of Filing Obligations.
18428 Reporting of Contributions and Independent Expenditures Required to be Aggregated.
18430 Committee Controlled by More Than One Candidate.
18432.5 Intermediary and Earmarked Funds Disclosure.
18523 Nondesignated Contributions or Loans.
18531.7 Payments for Communications – Section 85312.
18533 Contributions from Joint Checking Accounts.
CONTRIBUTION RESTRICTIONS

Although the Political Reform Act (Act) is primarily a disclosure law, there are several important restrictions and prohibitions on receiving contributions. This chapter reviews these restrictions and prohibitions, as well as some that are contained in laws other than the Act.

In addition, while the receipt of campaign contributions generally will not create a conflict of interest for an elected officeholder in the performance of his or her duties, contributions may be the source of a conflict of interest for officeholders or candidates who are also appointed to certain boards or commissions. The section on “Disqualification and Campaign Contributions” covers this area of the law.

A. Local Contribution Limits

The Act does not contain contribution limits for local candidates, but provides that cities and counties may adopt contribution limits applicable to their elections. Many California cities and counties have adopted campaign ordinances that include contribution limits and other disclosure provisions.

The FPPC’s website lists cities and counties with local campaign finance rules and links to the ordinances. For questions about local contribution limits, candidates and committees should contact their city clerk, county elections office, or their City Attorney’s or County Counsel’s office.

Check with your local elections office to determine if local campaign finance rules apply to your campaign.

Quick Tip
B. Restrictions under the Political Reform Act

Reporting the True Donor

If a contribution of $100 or more is received from a single source in a calendar year, the source must be identified on the committee’s Form 460. If a contribution is received through an intermediary, both the intermediary and the true source of the contribution must be identified. (See Chapter 3 for additional information about intermediaries.)

Failure to disclose the true source of a contribution is often referred to as campaign money laundering, which is a serious violation of the Act. One type of common violation is when an employer reimburses individual employees for contributions so that the committee receiving the contributions discloses the employees rather than the true source of the contribution (the employer) on campaign disclosure reports.

Another occurrence is when a person (organization, business, individual) makes a contribution to another person with the condition, agreement or understanding that the payment will be subsequently used for political purposes, such as a contribution to another committee. It is a violation for persons to conceal their identities by contributing through another person.

Committee treasurers must inquire about any information that a person of reasonable prudence would question based on all available information. It is not possible to describe every situation that might trigger a duty for a treasurer to inquire if a contribution is identified correctly. Some examples are the size of the contribution, the reported source, and the likelihood of that source making a contribution of the size reported.

If it is discovered that a committee received a contribution and the donor and intermediary were not properly identified, the contribution must be paid to the Secretary of State for deposit in the State General Fund. When the action is brought under a local campaign ordinance, a local committee may pay the contribution to the local jurisdiction for deposit in its general fund.

Ex 4.1 - A committee receives contributions of $1,000 each from ten different individuals in the same week. The committee treasurer and campaign fundraiser did not make specific solicitations to the individuals. Upon the treasurer’s request, the individuals state that they all work for the same employer. The committee treasurer has a duty to inquire to determine if the employer reimbursed the employees.
Cash Contributions

The committee may not accept a cash contribution of $100 or more. Such a contribution will not be deemed “received” if it is not deposited or spent and is returned to the contributor prior to the end of the reporting period of the campaign statement on which the contribution would otherwise be reported. Even if the contribution is inadvertently deposited, it is not deemed “received” if it is refunded within 72 hours of receipt. However, a cash contribution of $1,000 or more that is received in the 90 days before the election, including the date of the election, that is inadvertently deposited must be refunded within 48 hours in order to not be deemed “received.”

Anonymous Contributions

Anonymous contributions of $100 or more are prohibited. If a committee receives a cash contribution of $100 or more from an unknown source, it must be sent to the Secretary of State for deposit in the State General Fund.

Contributions Made by Money Orders/Cashier’s Checks/Traveler’s Cheques

Contributions of $100 or more made by money order, cashier’s check, or traveler’s cheque are prohibited and must be returned to the contributor, or, if made anonymously, sent to the Secretary of State for deposit in the State General Fund.

All monetary contributions of $100 or more must be made by written instrument (such as a check) containing the name of the donor and drawn from the account of the donor or the intermediary. Contributions may also be received by credit card (including over the Internet), wire transfer, or other electronic means. (See Chapter 3.)

Contributor’s Legal Name

Contributions must be made in the name by which the contributor is identified for legal purposes.

Even if change is immediately provided, a committee may not accept $100 or more in cash from a single source. For example, if the committee is holding a fundraiser and charging $50 per person, an attendee may not pay with a $100 bill. The payment must be made by personal check, debit card, or credit card.
Commingling Funds

Campaign funds may not be commingled with any individual’s personal funds; they must be kept in an account separate from any account that contains personal funds. In general, campaign funds may not be used for personal expenses. (See Chapter 5 for information about the use of campaign funds.)

Contributions Delivered in State Office Buildings

A contribution may not be delivered to or received by another person, personally or through an agent, in the State Capitol or any other state office building for which the State of California pays the majority of the rent. “Personally delivered” includes the delivery of a copy or facsimile of a contribution, and the original or a copy of a contribution transmittal letter. This prohibition does not apply to contributions received or delivered in a legislative district office or those sent by postal mail.

Contributions from State Lobbyists

A state lobbyist may not make a contribution to an elected state officer or a candidate for elective state office if the lobbyist is registered to lobby the governmental agency of the elected officer or the agency to which the candidate is seeking election. The lobbyist also may not contribute to a local committee controlled by a state officer or candidate for elective state office.

State Lobbyist and Lobbying Firm Fundraisers

A fundraiser held in the home of a state lobbyist is considered a contribution; therefore, a lobbyist or a cohabitant of a lobbyist is prohibited from holding a fundraiser in his or her home for a candidate seeking election to a governmental agency that the lobbyist is registered to lobby. This includes a local candidate/officeholder that is seeking election to a state office. A similar prohibition applies to lobbying firms holding fundraisers at their offices.
Federal Law Prohibitions: Contributions from Foreign Nationals (including Foreign Principals and Foreign Governments)

Committees may not solicit or accept contributions from foreign nationals. Federal law prohibits contributions and expenditures solicited, directed, received or made directly or indirectly by or from foreign nationals in connection with any election — federal, state or local. This prohibition includes contributions made to political committees. Furthermore, it is a violation of federal law to knowingly provide substantial assistance in the making, acceptance or receipt of contributions or in connection with federal and nonfederal elections to a political committee. This prohibition includes, but is not limited to, acting as an intermediary for foreign national contributions. (52 USCS Section 30121.) Contact the Federal Election Commission for information at (800) 424-9530 or info@fec.gov.

Federal Law Prohibitions: Contributions from National Banks or Federally-Chartered Corporations

National banks and federally-chartered corporations are subject to federal law prohibiting particular contributions and expenditures in connection with local, state, or federal elections. (The Federal Election Campaign Act, 52 USCS Section 30101, et seq. and specifically Section 30118; and see 11 C.F. R. Section 114.2.) Contact the Federal Election Commission for information at (800) 424-9530 or info@fec.gov.

Soliciting Contributions from Public Employees

Government Code Section 3205 prohibits a local candidate from knowingly, directly or indirectly, soliciting a political contribution from any employees of his or her agency or from a person on an employment list of that agency. There is an exception for solicitations that are made to a significant segment of the public. For further information, contact the Attorney General’s office at (800) 952-5225 or the local district attorney.

Cryptocurrency

No contribution may be made or received in cryptocurrency.
C. Public Funds and Public Resources

Under Government Code Section 85300, the use of public moneys for the purpose of seeking elective office is prohibited unless:

- The governmental entity establishes a dedicated fund for this purpose by statute, ordinance, resolution, or charter; and
- Public moneys held in the fund are available to all qualified, voluntarily participating candidates for the same office without regard to incumbency or political party preference; and
- The state or local governmental entity has established criteria for determining a candidate’s qualification by statute, ordinance, resolution, or charter.

Please note that at the time of this publication, recently enacted provisions of Section 85300 are currently the subject of a court challenge. (See Howard Jarvis Taxpayers Assn. v. Brown, Super. Ct. Sacramento County, 2016, No. 34-2016-80002512.)

In addition, laws outside the Act prohibit the use of public resources, such as office equipment, staff time, etc., for campaign or personal purposes. (Education Code Section 7054; Gov. Code Section 8314; Penal Code Section 426; and Vargas v. City of Salinas (2009) 46 Cal 4th 1.)

Government Code Section 54964 prohibits an officer, employee or consultant of a local agency from expending or authorizing the expenditure of any local agency funds to support or oppose a candidate or ballot measure. For further information about laws outside the Act, contact the Attorney General’s office at (800) 952-5225 or the local district attorney.

D. Campaign Contributions and Disqualification

Generally, campaign contributions received in connection with an elective office do not serve as the basis for disqualifying an official from voting on a matter affecting the contributor. However, if an elected official or candidate also holds a position on an appointed...
board or commission, he or she may be restricted from soliciting or receiving campaign contributions from persons with business before the board or commission. He or she may be subject to Government Code Section 84308 which:

- Prohibits an officer from soliciting, accepting, or directing campaign contributions of more than $250 from any party, participant, or agent of a party or participant, while a proceeding involving a license, permit, or other entitlement for use is pending before the officer’s agency and for three months following the date of that decision. This prohibition applies even when the contribution is for another candidate.

- Requires disclosure of all such campaign contributions and also requires an official’s disqualification from making decisions in certain proceedings in which the official is acting in an appointed position if the official has received more than $250 in campaign contributions from a party or participant within 12 months preceding the decision.

**Who is Covered?**

Generally, appointed board members, commissioners, or individuals who head state or local government agencies and who make decisions in proceedings involving licenses, permits, or other entitlements for use are subject to Section 84308. Common positions include:

- Planning Commissioners
- Local Agency Formation Commission (LAFCO) members
- Members of redevelopment agencies which are not entirely comprised of elected members of the same agency
- Transportation Authority members
- Air Quality Management District members
- Waste Management Authority members
- California Coastal Commissioners

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**Ex 4.3** - A planning commissioner serves as the treasurer for a councilmember’s campaign. The planning commissioner may not solicit, accept, or direct a campaign contribution of more than $250 for the councilmember’s campaign from a party, participant, or agent whose proceeding is pending before the planning commission.

**Ex 4.4** - Sarah is a city council candidate. She also is an appointed member of the city’s planning commission. Christopher has a permit request pending before the planning commission. Under Section 84308, Sarah is prohibited from soliciting or receiving any contribution of more than $250 from Christopher or Christopher’s agent.

**Ex 4.5** - Sarah wins the election and resigns her position on the planning commission. Since she is now serving solely in an elected position, she is not required to disqualify herself from making decisions on the city council by virtue of receiving contributions of more than $250 from any person.
Exempted Agencies

Section 84308 does not apply to the following agencies:

- Judicial branch
- Legislature
- Board of Equalization (Gov. Code Section 15626 applies)
- Constitutional officers
- Local agencies whose members are elected by the voters (e.g., board of supervisors, city council, or school board)
- Committees of an agency that are comprised solely of elected members of the same agency (e.g., city councilmembers who serve on the city’s budget and finance committee)
- Elected members of an agency, all of whom also serve as the governing body of another agency (i.e., city councilmembers who also serve on the city’s redevelopment agency board)

In determining whether a board or commission is exempt for purposes of Section 84308, the focus should be on the actual make-up of the board or commission. For example, the governing board of a sanitation district may consist of both elected and appointed members, but which, in fact, consists solely of the board of supervisors, is exempt under Section 84308.
Authority

The following Government Code sections and Title 2 regulations provide authority for the information in this chapter:

**Government Code Sections**

82015 Contribution.
84300 Cash and In-Kind Contributions; Cash Expenditures.
84301 Contributions Made Under Legal Name.
84302 Contributions by Intermediary or Agent.
84304 Anonymous Contributions.
84307 Commingling with Personal Funds.
84308 Contributions to Officers; Disqualification.
84309 Transmittal of Campaign Contributions in State Office Buildings.
85700 Donor Information Requirements; Return of Contributions.
85701 Laundered Contributions.
85702 Contributions from Lobbyists.
85704 Prohibition on Earmarking.

**Title 2 Regulations and Opinion**

18215 Contribution.
18215.4 Cryptocurrency Contributions.
18432.5 Intermediary and Earmarked Funds Disclosure.
18438.1 Officers and Agencies Under Government Code Section 84308.
18438.5 Aggregated Contributions Under Government Code Section 84308.
18438.6 Solicitation, Direction, and Receipt of Contributions Under Government Code Section 84308.
18438.7 Prohibitions and Disqualification Under Government Code Section 84308.
18438.8 Disclosure Under Government Code Section 84308.
18439 Definition of “Personally Deliver.”
18572 Lobbyist Contributions – Making a Contribution Defined.

*Pelham* Opinion (2001) 15 FPPC Ops. 1
Use of Campaign Funds

The use of campaign funds by candidates, elected officials, and others who control the expenditure of campaign funds, is strictly regulated. The expenditure of campaign funds must be reasonably related to a political, legislative, or governmental purpose.

If an expenditure confers a substantial personal benefit on the candidate, officeholder, or any individual authorized to approve campaign expenditures, the expenditure must be directly related to a political, legislative, or governmental purpose. A substantial personal benefit means an expenditure of campaign funds which results in a direct personal benefit with a value of more than $200.

The following are examples of specific expenditures and the rules regarding the use of campaign funds for such purposes. If the examples are not helpful, contact the FPPC for assistance about whether or not a specific use of campaign funds is permissible by sending an email with specific facts to advice@fppc.ca.gov.

A. Campaign Expenditures

Election Night Celebrations

Costs associated with election night celebrations or similar campaign events are considered to be directly related to a political, legislative, or governmental purpose; therefore, campaign funds may be used.

Attorneys’ Fees

Generally, attorneys’ fees and other costs related to administrative, civil, or criminal litigation may only be paid with campaign funds if the litigation is directly related to activities of the committee that are consistent with its primary objectives. Campaign funds may be used to pay for expenses related to the following:

Quick Tip

Campaign funds must be used for political, legislative, or governmental purposes. The FPPC has fined committees for payments made from a campaign account that were used for the following personal purposes: auto care services, doctor visits, clothing, and personal life insurance premiums.
• Action to halt defamation;

• Defense of an action to halt defamation;

• Defense of an action for violation of state or local campaign, disclosure, or election laws;

• Litigation to secure a place on the ballot or challenge the wording of the ballot pamphlet;

• Contested election;

• Election recount; and

• Compliance expenses (for example, completing campaign disclosure reports).

Reimbursements

If a bank account is required (see Chapter 1), the candidate must deposit personal funds in the campaign bank account and make expenditures from that account instead of spending personal funds for the campaign and later seeking reimbursement from campaign funds. However, any other individual (e.g., a volunteer or campaign worker) may make expenses from personal funds and be reimbursed, so long as the expenses are incurred for political, legislative, or governmental purposes and repayment is made within 45 days. An officeholder may use personal funds and be reimbursed for “officeholder” expenses. (See Chapter 8 for specific reporting rules and deadlines for reimbursements.)

Automobile Lease or Purchase

When making payments associated with leasing, purchasing, or operating a vehicle, such as insurance, maintenance, and repairs, the campaign committee must be the lessee or hold title to the vehicle. Additional titleholders may not be the candidate, officeholder, treasurer, or any other person who may approve campaign expenditures, or a member of any such person’s immediate family (spouse or registered domestic partner and dependent children). Additional lessees may not be the candidate, officeholder, treasurer, or a member of any of these persons’ immediate family.

Ex 5.1 - The candidate’s spouse buys bagels for the morning shift of volunteer workers. After providing the treasurer with a receipt for bagels, the treasurer may reimburse the spouse for his expenses so long as the reimbursement is made within 45 days of the payment.
Reimbursed Automobile Expenses

Campaign funds may be used to reimburse an officeholder, candidate, immediate family member, treasurer, and committee staff for use of a personal vehicle if the use is directly related to a political, legislative, or governmental purpose. Documentation should be kept which includes the trip’s purpose and mileage in a manner approved by the Internal Revenue Service for deducting mileage expenses. The rate for reimbursement may not exceed that allowed under Internal Revenue Code Section 162. For more details, the Internal Revenue Service may be contacted at (800) 829-1040 (www.irs.gov).

Clothing

The purchase of clothing is a personal expense. The committee may not use campaign funds to pay for a candidate’s business or casual clothing. Specialty clothing, such as formal wear worn by an officeholder or candidate, may be purchased with campaign funds if the use of such clothing is directly related to a political, legislative, or governmental purpose.

Contributions to Other Candidates and Committees

Candidates may make contributions to other candidates and committees unless prohibited by local rules. Contributions to certain state committees are subject to limitations.

Donations

Campaign funds may be used to make donations or loans to bona fide charitable, educational, civic, religious, or similar tax-exempt, nonprofit organizations as long as the donation or loan is reasonably related to a political, legislative, or governmental purpose. In addition, the donation may not personally benefit the officeholder, candidate, committee treasurer, or any individual with authority to approve the expenditure of campaign funds, or any such person’s immediate family member (spouse or registered domestic partner and dependent children).

Ex 5.2 - A candidate has been asked to attend a formal event honoring the mayor. Since he does not own a tuxedo, he may rent one with campaign funds since the event is directly related to a political purpose.

Ex 5.3 - A fundraiser will be held to raise funds for a veteran’s memorial at the local civic center. The committee is permitted to donate campaign funds because the payment has a political, legislative, or governmental purpose.

Ex 5.4 - Your committee would like to donate funds to a homeless shelter where your spouse is a salaried employee. It is determined that a substantial part of the proceeds would benefit your spouse; therefore, this expenditure is not permissible.
Equipment and Appliances

Campaign funds may be used to buy, lease, or refurbish equipment or appliances, but only if their use is directly related to a political, legislative, or governmental purpose. As with restrictions on vehicles, the committee must hold title, or be the lessee, on the equipment; no individual may be listed as owner or lessee.

Fines, Penalties, Judgments, and Settlements

Generally, campaign funds may be used to pay the following fines, penalties, judgments, and settlements:

- Parking citations received while performing political, legislative, or governmental activities
- Fines assessed in relation to situations in which the use of campaign funds to pay for an attorney is allowed (discussed above)
- Fines imposed for late filing of campaign statements and Statements of Economic Interests (Form 700)

But campaign funds of any amount may not be used to pay a fine, penalty, judgment, or settlement relating to an improper use of campaign funds or an action involving bribery under Penal Code Section 86.

Food

A committee may use campaign funds to purchase a meal with a cost of $200 or less, so long as the expenditure is reasonably related to a political, legislative, or governmental purpose. However, if the aggregate cost of the meal is more than $200, the expense must be directly related to one of these purposes. When a candidate controlled committee reports itemized expenditures for gifts, meals, or travel, specific details must be included as described in Chapter 8.
Future Election

Campaign funds leftover after an election may be redesignated for a future election to seek the same office so long as the funds are not “surplus funds.” In addition, campaign funds leftover after an election may be transferred to a new bank account for a future election to seek a different office so long as the funds are not “surplus funds.” There is a discussion on when leftover funds become “surplus funds” at the end of this chapter. See Chapter 11 for the other requirements that must be met in order to use the funds for election to a future office.

Gifts

Unless directly related to a political, legislative, or governmental purpose, personal gifts may not be paid for with campaign funds. However, gifts of less than $250 in a calendar year to campaign employees or workers are permitted because they are considered to be directly related to a political, legislative, or governmental purpose. When a candidate controlled committee reports itemized expenditures for gifts, meals, or travel, specific details must be included as described in Chapter 8.

Health-Related Expenses

A committee may use campaign funds to pay for health care benefits for its employees or independent contractors. However, campaign funds may not be used to pay for other health-related expenses such as health club dues, special dietary foods, or medical check-ups.

Independent Expenditures

Government Code Section 85501 states that a candidate controlled committee may not make independent expenditures and may not contribute funds to another committee for the purpose of making independent expenditures to support or oppose other candidates.

However, a recent Sacramento County Superior Court decision in Charles R. “Chuck” Reed v. Fair Political Practices Commission found Section 85501 unconstitutional and enjoined the Commission from enforcing that provision.
Before making an independent expenditure to support or oppose another candidate, committees should seek advice from the FPPC. An advice letter (Downing, No. A-14-148) has been issued on the matter.

A candidate controlled committee for elective office may make independent expenditures to support or oppose a ballot measure.

**Loans**

Campaign funds may be used to make loans to other political committees, subject to applicable limits, if any. Transfers from a local candidate’s committee to his or her state committee must be attributed to the original contributors. See Campaign Disclosure Manual 1 for State Candidates for more information on transfers and attribution.

Campaign funds may also be used to make loans to bona fide charitable, educational, civic, religious, or similar tax-exempt, nonprofit organizations, so long as the loan does not personally benefit the officeholder, candidate, committee treasurer, or any individual with authority to approve the expenditure of campaign funds, or any such person’s immediate family member. The loan must be reasonably related to a political, legislative, or governmental purpose. Campaign funds may not be loaned to an individual or to an entity other than those described above.

**Professional Services**

When the committee reasonably requires the services of professionals, such as accountants or attorneys, their fees may be paid with campaign funds as these expenditures are considered to be directly related to a political, legislative, or governmental purpose. (See below for restrictions on salary and compensation.)

**Real Property**

The committee may not purchase real property. It may, however, lease property for up to one year, so long as its use is directly related to a political, legislative, or governmental purpose. The candidate, officeholder, committee treasurer, any individual with authority to approve the committee’s expenditures, or an immediate family member of any of these persons may not be a lessee or sublessor, or hold legal title to the leased property.
Refunding Contributions

The return of contributions to contributors is permitted.

Returning Contributions Lacking Contributor Information

When a contribution of $100 or more is received in a calendar year from a single contributor, the committee must disclose the contributor’s name and address, and, if the contributor is an individual, his or her occupation and employer. If the committee does not have this information in its records within 60 days of receipt of the contribution, it must be returned to the contributor. (See Chapter 2.)

Salary and Compensation

The candidate or officeholder, or any individual authorized to approve the committee’s expenditures, may not receive a salary or other compensation from the committee for the performance of political, legislative, or governmental activities. The committee may pay for professional services such as an accountant, however, even if the accountant has authority to sign committee checks.

A spouse or domestic partner of an elected officer or a candidate for elective office may not receive, in exchange for any services rendered, compensation from campaign funds held by a controlled committee of the officer or candidate.

Security Systems

A candidate may use campaign funds to purchase an electronic security system. To do so, the candidate must have received threats to his or her physical safety because of his or her status as a candidate or elected official and the incidents must be verified by an appropriate law enforcement agency. No more than $5,000 may be spent and a report to the FPPC is required.

Effective January 1, 2020, campaign funds may be used to pay for, or reimburse the state for, the installation and monitoring of hardware, software, and services related to the cybersecurity of the electronic

Ex 5.8 - Paula Greene, a member of Supervisor Howard’s staff, is also the treasurer of the Supervisor’s campaign committee. Ms. Greene does all recordkeeping for the committee and completes the committee’s campaign reports. She also has authority to approve committee expenditures. Campaign funds may be used to pay Ms. Greene for services she provides as committee treasurer. Funds may not be used to supplement or pay her government salary.

Ex 5.9 - Candidates for the office of mayor have been offered the chance to speak during half-time at the local college football game. Campaign funds may be used to purchase tickets for the candidates and committee staff to attend, but only because they will be speaking.
devices of a candidate, elected officer, or campaign worker. Any expenditure of campaign funds for these purposes must be reported on the candidate or elected officer’s campaign statements.

**Tickets for Entertainment and Sporting Events**

Campaign funds may not be used to purchase entertainment and sporting event tickets for use by the candidate or officeholder, or staff of the committee, unless attendance at the event is directly related to a political, legislative, or governmental purpose.

**Tickets to Political Fundraisers**

A committee may purchase tickets to political fundraisers (subject to any applicable contribution limits) for the candidate, officeholder, or his or her immediate family, or an officer, director, employee, or staff of the committee or the officeholder’s governmental agency.

**Travel**

A committee may use campaign funds to pay for travel or accommodations for the candidate or officeholder, any individual with authority to approve the committee’s expenditures, or staff of the committee so long as the standards set by Internal Revenue Code Sections 162 and 274 (deduction of travel expenses for tax purposes) are complied with. Contact the Internal Revenue Service at (800) 829-1040 for more information. When a candidate controlled committee reports itemized expenditures for gifts, meals, or travel, specific details must be included as described in Chapter 8.

**Airline Mileage Programs**

Some airlines have mileage programs that allow individuals to earn free tickets or other awards. These mileage credits and awards belong to the individual traveler, not the committee. The committee is not required to report either the receipt of the mileage credit awards or the redemption of the credits.
B. Surplus Funds

There are restrictions on how campaign funds held by an elected officeholder or candidate may be spent once the funds become “surplus.” Surplus funds may not be used for a future election. See Chapter 11 for information about all requirements that must be met in order to use leftover campaign funds for a future election before the funds become surplus.

Campaign funds held by an officeholder become surplus on the 90th day after the officeholder leaves the office for which the funds were raised, or on the 90th day after the end of the postelection reporting period following his or her defeat, whichever occurs last. Campaign funds held by a non-incumbent defeated candidate or a candidate that withdrew become surplus on the 90th day after the postelection reporting period following the election. The end of the postelection reporting period is June 30 for elections held during the first six months of the calendar year and December 31 for elections held during the last six months of the calendar year.

Surplus funds may only be used to make the following expenditures:

- Payments for outstanding campaign debts or officeholder expenses.
- Refunds to contributors.
- Donations to a bona fide charitable, educational, civic, religious, or similar tax-exempt, nonprofit organization, provided no substantial part of the proceeds will have a material financial effect on the candidate, on any member of the candidate’s immediate family (spouse or registered domestic partner and children), or the campaign treasurer.
• Contributions to a political party committee, so long as the funds are not used to make contributions in support of or opposition to a candidate for elective office. (For example, funds earmarked for overhead expenses.)

• Contributions to support or oppose any candidate for federal office, any candidate for elective office in a state other than California, or any ballot measure.

• Payments for professional services or attorneys’ fees for litigation that arises out of campaign or election activities.

• Payment for an electronic security system. Contact the FPPC for information about specific requirements that must be met.

Answering Your Questions

A. Are there private firms that provide treasurer or campaign reporting services?

Yes. The FPPC does not endorse or recommend any particular private firm. Candidates may find useful information on the websites of the California Political Attorneys Association and the California Political Treasurers Association.

B. I am a candidate for a local office. It appears that I won’t have any problem winning my seat. I would like to return some of my contributions to my contributors. May I do this?

At any time during the campaign, you may return all or part of a contribution to your contributors.
C. I am a candidate. I make long-distance phone calls on my home phone to request support from organizations statewide. How may I pay for them?

When the bill arrives and there are additional charges that can be directly attributed to the campaign activity, the committee should pay for that portion. If the personal charges are not changed by the campaign activity, there is no reporting required.

D. May I use campaign funds to pay a babysitter for the evenings that I am out campaigning?

You may use campaign funds to pay a babysitter, but only up to $200 per event.

E. As a candidate, I will be using my personal car to get around during the campaign. Is mileage considered a reportable contribution if I do not want to be reimbursed?

No. Incidental use of your personal car for campaign purposes is not considered a contribution and is not reportable.

F. May I use campaign funds to have an additional telephone line put in my home?

Yes, as long as the additional phone line is used for campaign purposes only. If, after the campaign, you choose to retain the additional phone line for personal purposes, you must pay the campaign what it would cost to install an additional line at that time.
G. Is it permissible to use campaign funds to pay an independent contractor (e.g., the campaign consultant) additional money if I win my election?

Yes. You may use campaign funds to pay a contractor for fees that are part of the written contract.

H. May I host a victory party or give bonuses to my campaign workers?

Yes. In most cases, the bonuses would be considered gifts and would be limited to $250 per calendar year.

I. I lost my election and have funds remaining. May I, a non-incumbent, use the leftover funds to run again in two years?

If you wish to use funds left over from an unsuccessful race for a future election to the same office, file a new Form 501 and amend your existing Form 410 within 90 days after the end of the postelection reporting period. For elections occurring in the first six months of the calendar year, the end of the postelection reporting period is June 30. For elections occurring in the last six months of the calendar year, the end of the postelection reporting period is December 31. If you plan to run for a different office, file a new Form 501, transfer the funds to a new campaign bank account, and file a new Form 410. If the funds become “surplus,” they may not be used for a future election.
Authority

The following Government Code sections and Title 2 regulations provide authority for the information in this chapter:

**Government Code Sections**

82022.5 Election-Related Activities.
82025 Expenditure.
82044 Payment.
84307.5 Fundraising Payments Made to a Spouse or Domestic Partner.
85201 Campaign Bank Account.
85501 Prohibition on Independent Expenditures by Candidate Controlled Committees.
85700 Donor Information Requirements; Return of Contributions.
89511 Campaign Funds Held by Candidates and Committees.
89511.5 Use of Personal Funds for Incumbent Elected Officers.
89512 Expenditures Associated with Seeking or Holding Office.
89513 Use of Campaign Funds for Specific Activities.
89514 Use of Campaign Funds for Attorney’s Fees.
89515 Use of Campaign Funds for Donations and Loans.
89516 Use of Campaign Funds for Vehicle Expenses.
89517 Use of Campaign Funds for Real Property, Appliances or Equipment.
89517.5 Use of Campaign Funds for Security System.
89517.6 Use of Campaign Funds for Cybersecurity System.
89518 Use of Campaign Funds for Compensation.
89519 Use of Surplus Campaign Funds.

**Title 2 Regulations**

18526 Reimbursement of Expenditures.
18570 Return of Contributions with Insufficient Donor Information.
18951 Surplus Funds.
18960 Direct Personal Benefit Defined.
18961 Incidental Use.
COMMUNICATIONS

Campaigns reach the voters through political communications including television, radio, and Internet advertising, mailers, billboards, precinct-walking, and flyers. The Political Reform Act (Act) requires that committees report most payments in connection with political communications as direct expenditures, nonmonetary contributions to the campaign, or independent expenditures. As discussed below, however, certain types of communications may not be reportable at all, or may be subject to special reporting requirements. This chapter reviews common communications in a campaign and how payments for the communications are reported.

The Act also requires “paid for by” disclosures on campaign ads to inform voters who is paying for the communication. Chapter 7 discusses the disclosure requirements that apply to communications, including mass mailings, made by candidate controlled committees for their own election and communications made by non-controlled committees that are primarily formed to support or oppose a candidate.

A. Payments for Communications Made by Candidate’s Campaign

In most cases, a candidate’s campaign committee will be funding the bulk of the communications to elect that candidate to office. When a candidate’s campaign committee makes expenditures for communications in furtherance of the candidate’s election, the committee simply reports these direct expenditures. The expenditures are reported on the committee’s Form 460, Schedule E, as described in Chapter 8.

B. Payments for Communications Made by Others

Generally, when someone other than the candidate or his or her committee pays for a communication that expressly advocates support of the candidate, and the communication is coordinated with or “made
at the behest” of the affected candidate, the candidate has received a **nonmonetary contribution** that must be reported by the candidate’s controlled committee.

Payments for communications expressly advocating support of or opposition to a candidate, which are not coordinated with or made at the behest of the candidate, are **independent expenditures**, and the affected candidate is not required to report the payments; however, the person making the independent expenditure may have reporting obligations.

Whether a communication is a contribution, an independent expenditure, or some other type of reportable payment depends on several facts, including whether the communication “expressly advocates” support of or opposition to a clearly identified candidate or ballot measure. The information and examples below may be of assistance in making that determination. However, it is impossible to address all of the types of communications in a campaign. If presented with specific facts, FPPC staff may provide assistance.

Communications paid for by a candidate’s controlled committee to support his or her own candidacy, or to oppose his or her opponent, are direct campaign expenditures, not contributions or independent expenditures.

In most cases, communications paid for by a non-candidate controlled committee primarily formed to support or oppose a candidate are considered contributions or independent expenditures.

**Coordinated Communications - Nonmonetary Contributions**

When someone other than the candidate or his or her committee pays for a communication that is coordinated with or “made at the behest” of the candidate or his or her committee, the payment for the communication is a nonmonetary contribution to the affected candidate.

**Coordination – “Made at the Behest”**

A payment is coordinated with or “made at the behest” of the candidate or committee under each of the following situations:
• It is made at the request, suggestion, or direction of, or in cooperation, arrangement, consultation, concert, or coordination with the candidate or committee on whose behalf, or whose benefit the expenditure is made.

• The candidate or committee has made or participated in making any decision about the content, timing, location, mode, intended audience, volume of distribution, or frequency of placing the communication.

• A creator, producer, or distributor of the communication, or the person paying for the communication has had a discussion with the candidate or committee regarding the content, timing, location, mode, intended audience, volume of distribution, or frequency of placing the communication.

There is a rebuttable presumption that an expenditure funding a communication is \textit{coordinated} with or \textit{made at the behest}” of a candidate or committee if:

• \textbf{Committee’s Needs}. It is based on information about the candidate’s or committee’s campaign needs or plans provided by the candidate or committee to the person making the expenditure, such as information concerning campaign messaging, planned expenditures, or polling data.

• \textbf{Agent}. It is made by or through any agent of the candidate or committee in the course of the agent’s involvement in the current campaign. “Current campaign” means the period beginning 12 months prior to the date of the primary or special election in which the candidate is on the ballot for an elective office and ending on the date of the general or special runoff election for that office.

• \textbf{Common Consultants}. The person making the expenditure retains the services of a person who provides either the candidate or the committee supporting or opposing the ballot measure with professional services related to campaign or fundraising strategy for the current campaign.

• \textbf{Republication}. The communication replicates, reproduces, republishes, or disseminates, in whole or substantial part, a communication, including video footage, designed, produced, paid for, or distributed by the candidate or committee.
• **Fundraising.** The committee making the expenditure is primarily formed to support the candidate or oppose their opponent and in the course of the current campaign, the candidate who benefits from the expenditure solicits funds for or appears as a speaker at a fundraiser for the committee making the expenditure.

• **Former Staff.** The person making the expenditure is established, run, or staffed in a leadership role, by an individual who previously worked in a senior position or advisory capacity on the candidate’s or officeholder’s staff within the current campaign.

• **Candidate’s Family.** The person making the expenditure is established, run, staffed in a leadership role, or principally funded by an individual who is an immediate family member of the candidate.

However, an expenditure is **not considered to be coordinated** with or made at the behest of a candidate or committee based solely on any of the following circumstances:

• **Interview.** A person interviews the candidate on issues affecting the person making the expenditure.

• **Candidate Material.** The person making the expenditure has obtained a photograph, biography, position paper, press release, or similar material from the candidate or the candidate’s agents.

• **General Request for Support.** The person makes the expenditure in response to a general, non-specific request for support by a candidate or committee, provided that there is no discussion with the candidate or committee prior to the expenditure relating to details of the expenditure.

• **Public Appearance.** The person making the expenditure has invited the candidate or committee representative to make a public appearance before the person’s members, employees, shareholders, or their families, provided that there is no discussion with the candidate or committee prior to the expenditure related to details of the expenditure.
• **Prior Contribution.** The person making the expenditure has made a contribution to the candidate or committee.

• **Informed after the Expenditure is Made.** A person informs a candidate or committee that the person has made an expenditure, provided that there is no exchange of information, not otherwise available to the public, relating to details of the expenditure.

• **Expenditure Benefits Another Candidate or Committee.** The expenditure is made at the request or suggestion of the candidate or committee for the benefit of another candidate or committee.

• **Hyperlink.** The communication includes a hyperlink to the Internet website or other social media page of a candidate or ballot measure committee.

FPPC Regulation 18225.7, summarized above, specifies when a communication is considered independent versus made at the behest of a candidate or committee. Because the determination is based on specific facts, persons are encouraged to contact the FPPC for guidance.

**Independent Expenditures**

An independent expenditure is a payment for a communication that:

• **Expressly advocates** the election or defeat of a **clearly identified candidate** or the qualification, passage or defeat of a clearly identified measure, and

• The communication is **not coordinated** with or “made at the behest” of the affected candidate or committee.
Clearly Identified Candidate

A communication clearly identifies a candidate when it uses the candidate’s name, photograph, or status as a candidate or officeholder. If a communication includes a group of candidates and refers to some well-defined characteristic of the group, the candidates are clearly identified even if it does not use specific names.

Express Advocacy

A communication expressly advocates support of or opposition to a clearly identified candidate under the following scenarios:

- **Magic Words.** The communication uses words such as “vote for,” “elect,” “support,” “cast your ballot,” “vote against,” “defeat,” or “reject.”

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**Quick Tip**

When a communication that expressly advocates support of a candidate is not “made at the behest” of the affected candidate, the payment is considered an independent expenditure and the candidate does not report the payment. The person making the payment may have reporting obligations.

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**Ex 6.1** - An individual paid $4,000 for a newspaper ad stating “Vote for Autumn Gomez.” The communication expressly advocates support for a clearly identified candidate and must be reported either as a contribution if it was made at the candidate’s behest or as an independent expenditure if it was not.

Later, the same individual paid $2,000 for postcard-sized flyers that simply stated, “Vote on Election Day.” This communication is not reported as a contribution or independent expenditure because it did not expressly advocate support of or opposition to a candidate or measure.

**Ex 6.2** - Friends of Gomez, a non-candidate controlled committee primarily formed to support Autumn Gomez’s candidacy, printed campaign literature stating, “Vote for Autumn Gomez.” The communication included a copy of a photograph the committee obtained from the public information counter at Ms. Gomez’s campaign headquarters. Ms. Gomez did not in any way coordinate with the committee in producing the campaign literature. Therefore, the committee made an independent expenditure, not a contribution to Ms. Gomez’s campaign.

On the other hand, if the committee contacted Ms. Gomez and arranged for a professional photographer to meet with her for the purpose of taking photographs for the mailer, the committee would be making a nonmonetary contribution to her campaign.
• **Unambiguously Urges.** The communication is made within 60 days prior to an election, it refers to a clearly identified candidate, and when taken as a whole, it unambiguously urges a particular result in an election. The message must be susceptible of no reasonable interpretation other than as an appeal to vote for or against a specific candidate.

A committee or person making independent expenditures must be aware that the communication cannot be coordinated with the affected candidate or measure committee. If there is coordination, the payments are reported as contributions.

### C. Other Communications

#### Endorsements

An endorsement of a candidate may become a contribution or an independent expenditure when a payment is made in connection with the endorsement.

Frequently, a candidate will publish his or her endorsement by another official. As long as the communication does not advocate the election of the endorsing official (or the defeat of that official’s opponent), a payment made to communicate the endorsement is not a contribution to the endorsing candidate or official, even though the endorsement was made at the behest of both individuals.

If a candidate pays for a communication supporting his or her own candidacy that also supports or opposes a ballot measure, the payment is not a contribution or independent expenditure made in connection with the ballot measure.

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**Ex 6.3** - During Curt Anthony’s campaign, two newspaper advertisements supporting Mr. Anthony were published without his knowledge or consent. Because the payments for these communications were not coordinated with him or made at his behest, they were independent expenditures by the person(s) funding the ads and were not reportable by Mr. Anthony’s campaign. The person(s) who paid for the ads may have a filing obligation.

**Ex 6.4** - The president of a police officers’ association announces at its annual meeting that the association endorses John Law for county sheriff. Merely making an oral endorsement is not a contribution to or independent expenditure for John Law.

Closer to the election, at the request of candidate John Law, the association mails a special flyer to the voters announcing its endorsement of him. Because the mailing was made at the behest of the candidate, the association has now made a nonmonetary contribution to John Law.

**Ex 6.5** - A city council candidate paid for a mailing which quoted the mayor’s verbal endorsement of his candidacy. Although the mayor was also on the ballot, the flyer was not a contribution to the mayor.
Ex 6.6 - Emmelyn Chin, a city council member running for reelection, sent out a flyer to registered voters in her district asking them to support her candidacy. The flyer also encouraged the voters to vote for Lorraine Sweet for Governor, although this endorsement was not made at Ms. Sweet’s behest. Because the gubernatorial election and city council election would appear on the same ballot for those living in Ms. Chin’s district (and the flyer was sent only to voters in that district), the payment for the flyer is not an independent expenditure supporting Ms. Sweet.

If a candidate pays for a communication that supports another candidate, and the payment is not made at the behest of the endorsed candidate, the payment is not considered to be an independent expenditure if: (1) the candidate paying for the communication also is included in the communication; (2) the non-paying candidate is listed on the same ballot as the paying candidate; and (3) the communication is targeted only to potential voters in the paying candidate’s district.

Social Media – Internet Communications

Paid Advertisements on the Internet. A paid advertisement that a candidate or committee places on the Internet is reportable under the Act. A candidate or committee that pays to place a communication on another person’s website must report the expenditure on a campaign statement. Similarly, a candidate must report a payment to purchase email addresses or any payment for general or public advertisements on Internet sites.

Uncompensated Individuals’ Internet Activity. When an individual who is not compensated by a candidate or committee sends communications over the Internet (e.g., emails, social networking, blogging, website postings, and hyperlinks) that support or oppose a candidate or measure, these activities do not constitute reportable contributions or expenditures. Regulation 18215.2 creates a “safe harbor” for uncompensated individuals’ political activity on the Internet.

Paid Blogger. The safe harbor for an individual’s uncompensated Internet activity does not apply to a blogger a committee pays to support or oppose a candidate or measure. The committee must

Quick Tip
See Chapter 7 for the disclosure and sender identification requirements for mass mailings sent by a candidate-controlled committee or a committee primarily formed to support or oppose a candidate.

Ex 6.7 - John is running for school board and his neighbor George posts his support for John’s candidacy on Facebook. In his Facebook post, George includes a picture of John that he got from John’s website. The communication is not reportable because George was not paid for his Facebook post.

Ex 6.8 - Camille is running for local office and she pays Julia to post a message on Julia’s blog supporting Camille’s candidacy. Camille’s committee must report the payment as an expenditure on the Form 460.
report payments to that individual. The safe harbor also does not apply to a blogger who receives a majority of his or her advertisement revenue from a single candidate or committee because he or she is not considered to be providing uncompensated personal services.

D. Non-Contributions

There are some communications that are not considered to be contributions to the candidate or the candidate’s controlled committee.

Debates

If a nonpartisan organization hosts a debate or other forum and invites at least two opposing candidates, a payment for the event is not a contribution to the candidates.

Similarly, a payment for a debate or forum sponsored by a political party or a committee affiliated with a political party is not a contribution if a majority of the candidates for the party’s nomination are invited to participate.

Meetings

A payment made by a bona fide service, social, business, trade, union, or professional organization for reasonable overhead expenses associated with a regularly-scheduled meeting at which a candidate speaks is not a contribution if the organization pays no additional costs in connection with the speaker’s attendance.

Non-Political Communications

A payment made at the behest of a candidate for a communication by the candidate or any other person is not a contribution to the candidate if the communication:

- Does not contain express advocacy;
• Does not refer to the candidate’s election campaign, or his or her opponent’s qualifications for office; and

• Does not solicit contributions to the candidate or to third persons for use in support of or opposition to the candidate.

Member Communications

Payments made by an organization or its sponsored committee for a communication that supports or opposes a candidate are not contributions or expenditures as long as the communication is made only to the organization’s members, employees, or shareholders, or the families of its members, employees, or shareholders. The payments may not be for general public advertising, such as billboards, newspaper ads, or radio or television ads. If the organization’s sponsored committee makes the payments, the committee would report the payments as being made for general member communications.

Payments made by a political party for a communication that supports a candidate are not contributions to the candidate as long as the communication is distributed only to the party’s members, employees, and families of its members and employees. The party must report the payments, however, as if they were contributions or independent expenditures.

News Stories

A payment for the cost of publishing or broadcasting a news story, commentary, or editorial is not a contribution when the payment is made by a federally regulated broadcast outlet or a regularly published newspaper, magazine or other periodical of general circulation that routinely carries news, articles, and commentary of general interest.

Voter Registration

A payment made at the behest of a candidate as part of voter registration or get-out-the-vote activities is not a contribution if the communication does not expressly advocate support of or opposition to the candidate.

Ex 6.11 - Your campaign consultant asks a labor organization to send a mailing supporting your election. The mailing will be sent only to the organization’s membership. The mailing is not a contribution to you. Later, the campaign consultant asks the organization to send the mailing to all registered voters in your district. The mailing to the voters is a contribution to you.

Ex 6.12 - The Green Party pays for a mailing supporting your candidacy to all of its members five days before your election. The cost of the mailing exceeds $1,000. The Party must file a Form 497 (24-Hour/10 Day Contribution Report). You are not required to disclose the mailing as a contribution.

Ex 6.13 - At the behest of an elected official, an organization paid for a voter registration booth at a local fair. No other literature was distributed at the booth. The payment for the voter registration booth was not a contribution to the official.
Voting Records

An entity may publish the voting records of public officials. As long as only the voting records are published, the communication is not considered a contribution or an independent expenditure.

Answering Your Questions

A. A labor union pays for a mailing advocating the election of a candidate for city council. The mailing list includes both union members and non-union members and 20% of the mailing costs are attributed to non-union members. Must the candidate report the full cost of the mailing as a non-monetary contribution?

No. The candidate may pro-rate the cost and report as a nonmonetary contribution only the mailing costs for the non-union members.

B. A representative of an environmental organization interviewed a candidate for county supervisor about issues affecting the environment. Later, the candidate learned that the organization paid for a radio advertisement advocating the election of that candidate. Must the candidate report a nonmonetary contribution?

No. An expenditure is not made at the behest of a candidate just because a person interviews the candidate on issues affecting the person making the expenditure. As long as the candidate did not coordinate with the organization to produce the advertisement in any other way, the organization made an independent expenditure, not a contribution to the candidate.
C. I was elected to the city council in November. May I assist an independent expenditure committee that supported my candidacy in retiring its debt now that the election is over?

No. An “independent expenditure” is made without the coordination, cooperation, or consultation of the candidate. If you assist the committee, the expenditures are not considered independent.

D. I am a law enforcement officer running for city council. Is it permissible to wear my law enforcement uniform in my campaign literature?

The Political Reform Act does not contain restrictions related to a candidate wearing a law enforcement uniform; however, other laws may apply. Candidates should contact the District Attorney or City Attorney.
Authority

The following Government Code sections and Title 2 regulations provide authority for the information in this chapter:

**Government Code Sections**

82015  Contribution.
82025  Expenditure.
82031  Independent Expenditure.
82041.3 Made at the Behest of.
82044  Payment.
82047  Person.
84211  Contents of Campaign Statement.
85312  Communications to Members of an Organization.

**Title 2 Regulations**

18215  Contribution.
18215.2 Uncompensated Internet Activity by Individuals that is not a Contribution or Expenditure.
18225.7 Made At the Behest; Independent versus Coordinated Expenditures.
18421.5 Reporting an Expenditure for Paid Online Communications.
18450.1 Definitions. Advertisement Disclosure.
18531.7 Payments for Communications – Section 85312.
ADVERTISEMENT DISCLOSURES

This chapter describes the disclosures required by the Political Reform Act ("Act") on mass mailings and other advertisements made by candidate controlled committees and committees primarily formed to support or oppose a candidate. A disclosure is the portion of a political message that identifies the committee that paid for and authorized the communication. The basic disclosure for a communication made by a candidate’s committee for his or her own election is "paid for by [committee name]." The disclosure ensures that the committee paying for the ad is identified. The Act does not regulate the truth or accuracy of political communications given that the First Amendment provides broad protection for political speech.

Disclosure Example:

● FIGHTING TO RESTORE PUBLIC SAFETY ●
● WORKING TO EXPAND EARLY EDUCATION ●
● CROSSING PARTY LINES TO GET IT DONE ●

elizabeth lane

Paid for by
Elizabeth Lane for City Council 20XX
P.O. Box 152
Padua, CA 94868
A. Which Communications Require an Ad Disclosure?

Candidate Controlled Committees

Under the Act, a candidate controlled committee must include a disclosure on mass mailings and certain telephone calls advocating the candidate’s own election. In addition, radio and television advertisements require a “paid for by” disclosure. The Act does not require a specific disclosure on other communications, such as billboards and yard signs, when they are paid for by a candidate controlled committee in support of the candidate’s own campaign. However, the FPPC recommends placing “paid for by [committee name]” and the committee’s ID number on all public campaign materials.

Primarily Formed Committees Making Independent Expenditures

Under the Act, committees that are primarily formed to support or oppose a candidate must include a disclosure on the following communications:

- Mailings, including emails
- Paid telephone calls
- Radio ads
- Television and video ads
- Electronic media ads, including audio only ads
- Newspaper and magazine ads
- Billboards
- Yard signs
- Door hangers
- Flyers
- Posters

Quick Tip

Check with your local elections office for rules on the placement of campaign signs and any local advertisement disclosure rules. Also check the rules on placing temporary political signs in California’s Outdoor Advertising Act Sec. 5405.3, on the Department of Transportation’s website.
Advertisement Disclosure Exceptions

Generally, a disclosure is not required on the following advertisements:

- Regular-size campaign buttons and bumper stickers, pins, or 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

B. How Must the Disclosure Appear?

Disclosures on political ads must be shown clearly so they may be easily understood by the public. Written disclosures must be printed clearly and legibly. Spoken disclosures must be clearly audible and intelligible. Disclosures must also be written or spoken in the same language used in the advertisement. The charts on the following pages specify requirements for color contrast, print font size, placement location, and the amount of time the disclosure is required to appear on screen.
C. Advertisement Disclosures for Communications by Candidate Committees for their own Election

The disclosure on a communication made by a candidate’s committee for his or her own election must include “Paid for by [committee name],” unless otherwise noted in the chart below.

<table>
<thead>
<tr>
<th>Communication</th>
<th>Disclosure and Manner of Display</th>
</tr>
</thead>
<tbody>
<tr>
<td>All mass mailings – more than 200 substantially</td>
<td>• Candidate’s committee name and address (on file with Form 410) on outside of mailing (if no Form 410 on file, use candidate’s name and address)</td>
</tr>
<tr>
<td>similar pieces of mail sent within a calendar</td>
<td>• “Paid for by” 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</td>
</tr>
<tr>
<td>month</td>
<td>• If sent by more than one candidate or committee:</td>
</tr>
<tr>
<td></td>
<td>o Also on at least one insert in the mailing</td>
</tr>
<tr>
<td></td>
<td>• No less than 6-point type and in a contrasting print or color</td>
</tr>
<tr>
<td></td>
<td>• Return envelopes (if included in solicitation) – committee’s name, address and ID number are recommended but not required</td>
</tr>
<tr>
<td>All mass electronic mail – more than 200</td>
<td>• “Paid for by [name of candidate or committee]” must be in at least the same size font as a majority of the text (no address is required on mass electronic mailings)</td>
</tr>
<tr>
<td>substantially similar emails sent within a</td>
<td></td>
</tr>
<tr>
<td>calendar month</td>
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</table>
### Communication Disclosure and Manner of Display

<table>
<thead>
<tr>
<th>Communication</th>
<th>Disclosure and Manner of Display</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Newspaper ads</strong></td>
<td>• Refer to the Elections Code for newspaper ad disclosure requirements</td>
</tr>
</tbody>
</table>
| **Telephone calls advocating candidate’s own election - 500 or more calls similar in nature and made by:** | • Must identify the candidate’s committee that authorized or paid for the call or an organization authorizing the call that files campaign reports  
  • Must state that the call is “paid for by” or “authorized by” the identified candidate or organization  
  • **Examples:** This call was paid for by Mayor Jones;  
  This call was authorized by [name of committee]  
  • Any time during the call  
  • No ID required on telephone calls personally dialed by candidate, campaign manager or volunteers |
| **Radio and television ads**                        | • **Radio:** “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  
  • **Television:** “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 |
| **Electronic Media ads** (Websites, blogs, Twitter feeds, social media pages – e.g., Facebook) | • “Paid for by committee name” and committee ID number are recommended but not legally required |
| **Billboards, signs (including yard signs), faxes, business cards, door hangers, flyers, and posters** | • “Paid for by committee name” and committee ID number are recommended but not legally required |
D. Advertisement Disclosures for Independent Expenditure Ads Made by Committees Primarily Formed to Support or Oppose a Candidate

When a committee primarily formed to support or oppose a candidate pays for an advertisement that is an independent expenditure, the advertisement disclosure must include the information contained in the chart below including the names of the committee’s top three contributors.

**Top Contributors**

“Top contributors” means the persons from whom the committee paying for an advertisement has received its three highest cumulative contributions of fifty thousand dollars ($50,000) or more. If two or more contributors of identical amounts qualify as top contributors, the most recent contributor of that amount must be listed as the top contributor.

If an advertisement paid for by a committee supports or opposes a candidate, the determination of top contributors may not include any nonprofit organization exempt from federal income taxation pursuant to Section 501(c)(3) of the United States Internal Revenue Code or any person who has prohibited in writing the use of his or her contributions to support or oppose candidates if the committee does not use such contributions to support or oppose candidates.
<table>
<thead>
<tr>
<th>Communication</th>
<th>Disclosure and Manner of Display</th>
</tr>
</thead>
<tbody>
<tr>
<td>Print ads designed to be individually distributed including mailings, door</td>
<td>• “Ad paid for by [committee’s name]” (on file with Form 410 or 461) followed by</td>
</tr>
<tr>
<td>hangers, flyers, faxes, posters, newspaper and magazine ads and oversized</td>
<td>• “Committee major funding from [names of top three contributors of $50,000 or more]” each listed on a separate</td>
</tr>
<tr>
<td>campaign buttons and bumper stickers (buttons 10 inches in diameter or larger</td>
<td>horizontal line, in descending order, beginning with the largest contributor (<em>not applicable to non-recipient committees</em>)</td>
</tr>
<tr>
<td>and stickers 60 square inches or larger)</td>
<td>o Newspaper, magazine or other print advertisements that are 20 square inches or less must only disclose the single top contributor of $50,000 or more</td>
</tr>
<tr>
<td></td>
<td>• Below the top contributor information (if any), a <strong>statement that the advertisement was not authorized by a candidate or a committee controlled by a candidate</strong></td>
</tr>
<tr>
<td></td>
<td>• <strong>Disclosure Format:</strong> All text must be in Arial equivalent font, in at least 10-point size, in a contrasting color, centered horizontally and, except for the names of top contributors, underlined. The names of top contributors may not be underlined and the text may not be condensed. If there are no top contributors, the “Ad paid for by” need not be underlined. All text must appear in a printed or drawn box with a solid white background at the bottom of at least one page and set apart from other printed matter</td>
</tr>
<tr>
<td></td>
<td>o “<strong>Committee major funding from</strong>” and “<strong>Not authorized by</strong>” disclosures may not appear in all capital letters</td>
</tr>
</tbody>
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Fair Political Practices Commission
advice@fppc.ca.gov

Chapter 7. 7
Campaign Manual 2
November 2019
<table>
<thead>
<tr>
<th>Communication</th>
<th>Disclosure and Manner of Display</th>
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</table>
| Print ads larger than those designed to be individually distributed, such as billboards and signs (including yard signs) | • “Ad paid for by [committee’s name]” (on file with Form 410 or 461) followed by  
• “Committee major funding from [names of top three contributors of $50,000 or more]” Top contributors must be displayed from largest to smallest appearing either on: (1) separate horizontal lines, centered horizontally or (2) one line separated by commas (not applicable to non-recipient committees)  
• Below the top contributor information (if any), a statement that the advertisement was not authorized by a candidate or a committee controlled by a candidate  
• Disclosure Format: All text must be in Arial equivalent font. The font must be a height of at least five percent of the advertisement, meaning that each line must be at least five percent of the advertisement, on a solid background with sufficient contrast that is easily readable by the average viewer and, except for the names of the top contributors, underlined. If there are no top contributors, the “Ad paid for by” need not be underlined.  
  o The “Committee major funding from” and “Not authorized by” disclosures may not appear in all capital letters |
| Radio ads, telephone calls and audio only electronic media ads | • “Ad paid for by [committee’s name]” (on file with Form 410 or 461)  
• “Committee major funding from [names of top three contributors of $50,000 or more]” in descending order, beginning with the largest contributor (not applicable to non-recipient committees)  
• A statement that the advertisement was not authorized by a candidate or a committee controlled by a candidate  
• Disclosure Format: Must be spoken clearly for at least three seconds at the beginning or end of the ad or call, in a pitch and tone substantially similar to the rest of the advertisement  
  o Radio and prerecorded telephone ads must disclose only the top two contributors of $50,000 or more unless the ad lasts 15 seconds or less or the disclosure statement would last more than eight seconds, in which case only the single top contributor must be disclosed. |
<table>
<thead>
<tr>
<th>Communication</th>
<th>Disclosure and Manner of Display</th>
</tr>
</thead>
<tbody>
<tr>
<td>Television and video ads (including those disseminated over the Internet)</td>
<td>• “Ad paid for by [committee’s name]” (on file with Form 410 or 461)</td>
</tr>
<tr>
<td></td>
<td>• “Committee major funding from [names of top three contributors of $50,000 or more]” in descending order, beginning with the largest contributor (<em>not applicable to non-recipient committees</em>)</td>
</tr>
<tr>
<td></td>
<td>• A statement that the advertisement was not authorized by a candidate or a committee controlled by a candidate</td>
</tr>
<tr>
<td></td>
<td>• <strong>Disclosure Format</strong>: All text must be centered horizontally in the disclosure area, in a contrasting color, in Arial equivalent type and, if there are top contributors, must be underlined except as specified below</td>
</tr>
<tr>
<td></td>
<td>The size for the smallest letters must be four percent of the height of the display screen and must be displayed at the beginning or end of the ad for at least five seconds of a broadcast of 30 seconds or less or for at least 10 seconds of a broadcast longer than 30 seconds.</td>
</tr>
<tr>
<td></td>
<td>Disclosure must appear on a solid black background on the entire bottom one-third of the display screen, or bottom one-fourth of the screen if the committee has no top contributors</td>
</tr>
<tr>
<td></td>
<td>Each top contributor must be disclosed on a separate horizontal line separate from other text, may not be underlined and may not be condensed or have the spacing between characters reduced to be narrower than a normal non-condensed Arial equivalent type font unless doing so is necessary to keep the name of a contributor from exceeding the width of the screen.</td>
</tr>
<tr>
<td></td>
<td>The <strong>“Not authorized by”</strong> disclosure must appear below all other text in no less than 2.5 percent of the height of the display screen. If this causes the disclosures to exceed one-third of the display screen then it may be printed immediately above the background with sufficient contrast that is easily readable and is not required to be underlined.</td>
</tr>
<tr>
<td></td>
<td>The <strong>Committee major funding from</strong> and <strong>“Not authorized by”</strong> disclosures may not appear in all capital letters.</td>
</tr>
<tr>
<td>Communication</td>
<td>Disclosure and Manner of Display</td>
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</table>
| Electronic media ads not covered below (except video ads, see above)         | • “Who funded this ad?” text as a hyperlink in a contrasting color and font size that is easily readable by the average viewer*  
  o Must hyperlink to a website containing the “Ad paid for by,” “Committee major funding from,” and “Not authorized by” disclosures in a contrasting color and in no less than 8-point font  
  o “Committee major funding from” and “Not authorized by” disclosures may not appear in all capital letters  
  o Must remain online until 30 days after the date of election  
  • “Ad paid for by,” “Committee major funding from,” and “Not authorized by” disclosures in a contrasting color and in no less than 8-point font on the committee’s profile, landing page, or similar location; disclosures are not required on each individual post or comment  
  o “Committee major funding from” and “Not authorized by” disclosures may not appear in all capital letters  
  o Not required when the only expense or cost of the communication is compensated staff time unless the social media account was created only for the purpose of ads under the Act  
  • “Paid for by,” “Committee major funding from,” and “Not authorized by” disclosures printed clearly and legibly in a contrasting color and in no less than 8-point font at the top or bottom of the email and every publicly accessible page of the website  
  o “Committee major funding from” and “Not authorized by” disclosures may not appear in all capital letters  
  • See disclosure requirements for radio ads above  
  Note: The “Committee major funding from” disclosure requirement on this page is not applicable to non-recipient committees.  
  *This text is not required if including it is impracticable. In such circumstances the ad need only include a hyperlink to a website disclaimers. |
| Social media ads                                                             |                                                                                                                                                                                                                                                                                                                                                              |
| Website and email                                                            |                                                                                                                                                                                                                                                                                                                                                              |
| Electronic media ads that are audio only                                     |                                                                                                                                                                                                                                                                                                                                                              |
Print Advertisement Disclaimer Example:

Ruby Vargas
has your back in VERONA

✓ Delivered improvements to I-5
✓ Supported art corridor expansion
✓ Funded mental health services

Ad paid for by Public Safety Workers and Educators to Re-elect Supervisor Vargas 20XX

Committee major funding from:
International Workers Association
State Safety Workers Association
California Teachers United

This advertisement was not authorized by a candidate or committee controlled by a candidate.
E. Mass Mailings – Emails and Postal Mailings

A “mass mailing” is made when more than 200 substantially similar pieces of mail have been sent within a calendar month. A mass mailing also includes more than 200 substantially similar messages distributed to the public within a calendar month through electronic mail (“email”). Solicitation letters, notices of fundraising events, newsletters sent by the candidate or committee, and other types of campaign literature are common types of mass mailings.

Disclosures for Emails Sent by a Candidate for their own Election

Emails must include the committee’s name preceded by the words “paid for by” in at least the same size font as a majority of the text in the email.

From: Reynolds@yahoo.com
To: Voter1@gmail.com
Cc:  
Subject: Reynolds for City Council 20XX

Don’t forget to vote for Reynolds on Tuesday! This message was paid for by Reynolds for City Council 20XX.

Disclosures for Postal Mailings Sent by a Candidate for their own Election

A mass mailing sent by a candidate controlled committee 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 (Example: no light blue disclosures on a blue background). A post office box may be used as the address only if the committee’s street address is on its Statement of Organization (Form 410) on file with the Secretary of State.
Mailings Sent by More than One Candidate Controlled Committee

A mass mailing sent by more than one candidate controlled committee must include the words “paid for by” immediately in front of or above the name and address of the committee that is paying the greatest share of the mass mailing including costs for designing, printing, and postage. This disclosure must appear on the outside of each piece of mail. If two or more committees pay equally 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 disclosure must be in no less than 6-point type and in a color that contrasts with the background (Example: no light blue disclosure on a blue background). A post office box may be used as the address only if the committee’s street address is on its Statement of Organization (Form 410) on file with the Secretary of State.

Mailings (including Emails) Sent by Committees Primarily Formed to Support or Oppose a Candidate

Postal Mailings. Any mailing (regardless of the number of pieces sent) paid for by a primarily formed committee as an independent expenditure supporting or opposing a candidate must include the disclosures below in Arial equivalent font, in at least 10-point size, in a contrasting color, centered horizontally and, except for the names of top contributors, underlined. The names of top contributors may not be underlined and the text may not be condensed. If there are no top contributors, the “Ad paid for by” need not be underlined. All text must appear in a printed or drawn box with a solid white background at the bottom of at least one page and set apart from other printed matter.

Quick Tip
If two or more candidate controlled committees pay equally for a mass mailing, the names and addresses of each of the committees must appear on at least one insert.
• “Ad paid for by [committee’s name]”

• “Committee major funding from [names of top three contributors of $50,000 or more]” each listed on a separate horizontal line, in descending order, beginning with the largest contributor. Mailings that are 20 square inches or less must only disclose the single top contributor of $50,000 or more. This text may not appear in all capital letters.

• Below the top contributor information (if any), a statement that the advertisement was not authorized by a candidate or a committee controlled by a candidate. This text must not appear in all capital letters.

**Emails.** Emails sent by a primarily formed committee supporting or opposing a candidate must include the “Paid for by,” “Committee major funding from,” and “Not authorized by” disclosures printed clearly and legibly in a contrasting color and in no less than 8-point font at the top or bottom of the email. “Committee major funding from” and “Not authorized by” disclosures must not appear in all capital letters.

**Recordkeeping for Mass Mailings (including Emails)**

For each independent expenditure mailing and candidate-controlled mass mailing or email communication, the following information must be retained in the committee’s records for a period of four years:

• A sample of the mailing;
• A record of the date of the mailing;
• The number of pieces sent; and
• The method of postage used for postal mailings.
F. Telephone Calls

Calls Made by Candidate Controlled Committees for their own Election

If a candidate controlled committee pays for 500 or more similar telephone calls made by vendors (“robo” calls) or paid individuals advocating the candidate’s own election, the name of the organization that authorized the call must be disclosed to the recipient of the call. If the organization authorizing the call does not have filing obligations under the Act, the name of the candidate that paid for the call must be disclosed to recipients. The disclosure must include the words “paid for by” or “authorized by.” The disclosure is not required for telephone calls personally dialed by the candidate, campaign manager, or volunteers. The disclosure can occur anytime during the call.

Calls Made by Committees Primarily Formed to Support or Oppose a Candidate

If a primarily formed committee pays for a telephone call that expressly advocates support for or opposition to a candidate, the name of the committee must be disclosed to recipients. The disclosure must include the words “Ad paid for by.” If the call is an independent expenditure, the disclosure must also include a statement that the advertisement was not authorized by a candidate or a committee controlled by a candidate. The disclosure must also include the committee’s top three contributors of $50,000 or more during the 12-month period prior to the expenditure, if any. The disclosure must be spoken clearly for at least three seconds at the beginning or end of the call, in a pitch and tone substantially similar to the rest of the call. Prerecorded telephone ads must disclose only the top two contributors of $50,000 or more unless the ad lasts 15 seconds or less or the disclosure statement would last more than eight seconds, in which case only the single top contributor must be disclosed.

Anonymous robocalls are a violation of the Act. Committees are prohibited from contracting with a vendor for political calls that does not disclose who paid for or authorized the calls.

Quick Tip
Recordkeeping for Telephone Calls

A committee must retain for a period of four years the following records for each telephone call:

- If the message was live, a script of the call.
- If the message was recorded, a copy of the recording.

Ex 7.1 - City Councilmember Reitz pays a vendor to make calls to 1,500 local voters to encourage them to reelect her to the city council. The disclosure must state that the telephone calls were paid for by the candidate’s committee. For example, “[t]his call was paid for by Reelect City Councilmember Reitz 20XX.”

Ex 7.2 - At City Councilmember Reitz’s request, Citizens for Better Schools (a general purpose committee) pays a vendor to make calls to 1,500 local voters to encourage them to reelect Councilmember Reitz to the city council. The disclosure must identify the committee paying for the call or the candidate authorizing the call. For example, “[t]his call was paid for by Citizens for Better Schools” or “[t]his call was authorized by Councilmember Reitz.”

G. Electronic Media Ads

The Act does not require a specific disclosure on electronic media ads, including websites, Internet ads, and mobile ads paid for by a candidate’s committee for his or her own election. However, the FPPC recommends placing “paid for by [committee name]” and the committee ID number on all public campaign materials.

Committees primarily formed to support or oppose a candidate making independent expenditures for electronic media ads are subject to the “Ad paid for by [committee name]” requirement and additional disclosure requirements as described in the chart earlier in this chapter.
H. Newspaper, Radio and Television Ads

Radio and television ads paid for by a candidate’s committee for their own election must include the following disclosures:

- **Radio**: “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.

- **Television**: “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.

The Act does not require a specific disclosure on newspaper ads paid for by a candidate’s committee for their own election. For newspaper ad requirements, candidates and committees should check the Elections Code.

Committees primarily formed to support or oppose a candidate making independent expenditures for a newspaper, radio, or television ad to support or oppose a candidate are subject to the “Ad paid for by [committee name]” disclosure and other requirements as described in the chart earlier in this chapter.

I. Paid Spokespersons for Ballot Measure Ads

Generally, candidate controlled committees and primarily formed committees spend campaign funds only in connection with the candidate’s election. However, there may be times when a committee wants to pay for an advertisement to support or oppose a ballot measure.

The Act requires specific disclosure when any committee uses a paid spokesperson in an advertisement to support or oppose a ballot measure. The committee must (1) file a Paid Spokesperson Report, Form 511, for an individual’s appearance in a ballot measure advertisement and (2) include a disclosure on the ad in the following situations.
$5,000 payment to an individual in an ad: The committee makes expenditures totaling $5,000 or more for an individual’s appearance in an advertisement to support or oppose the qualification, passage or defeat of a state or local ballot measure.

**Disclosure on ad:** “(Spokesperson’s name) is being paid by this campaign or its contributors.”

Any payment to an individual in an ad portraying a professional (e.g., nurse, doctor, firefighter, scientist, engineer, lawyer, etc.): The committee makes expenditures of any amount to an individual for his or her appearance in an ad supporting or opposing the qualification, passage or defeat of a state or local ballot measure that states or suggests that the individual is a member of an occupation that requires licensure, certification, or other specialized, documented training to engage in that occupation.

**Disclosure on ad:** “Persons portraying members of an occupation in this advertisement are compensated spokespersons not necessarily employed in those occupations.”

**Note:** If the individual in the ad is actually a member of the occupation portrayed, the committee may omit this disclosure, and shall maintain documentation of the individual’s license or certification for the occupation. Upon request from the FPPC, the committee must provide documentation of an individual’s occupation by electronic means within 24 hours.

The advertisements include print, television, video, and radio ads, as well as telephone messages. The disclosures on the ads must be shown in highly visible font for print, television or video ads, or spoken in a clearly audible manner for radio ads or telephone messages. The disclosure must be shown continuously except when other required disclosures are being shown.
J. Updating a Disclosure

Advertisement disclosures must be revised if a committee’s name changes, if the order of the top contributors changes, or if there is a new $50,000 contributor. Television, radio, electronic media, or “robo” calls must be amended within five business days. Print media, mass mailings, or other tangible items must be amended every time an order to reproduce is placed.

K. Penalties

Failure to comply with the Act’s disclosure requirements may result in fines of up to $5,000 per violation. In addition, any person who violates the disclosure requirements for ballot measure and independent expenditure advertisements may be liable for fines of up to three times the cost of the advertisement, including placement costs.

Answering Your Questions

A. Are the disclosure rules the same for candidate controlled committees and committees primarily formed for candidates that will be making independent expenditures?

No. Stricter disclosure rules apply to independent expenditure advertisements because it is less clear to the public who is responsible for these ads. The Act requires disclosures on a broader range of advertisements when they are paid for by a committee making independent expenditures. See the ad disclosure charts in this chapter for additional information.
B. A committee primarily formed for a candidate has agreed to pay for several types of communications (yard signs, a billboard, door hangers) to advocate support of the candidate. The advertisements are prepared by the candidate’s campaign consultant. What disclosures are required, if any?

The same disclosures are required as those for a primarily formed committee making independent expenditures except for the “not authorized by” disclosure.

C. If a business entity includes a copy of a candidate’s flyer in its regular monthly mailing, is the candidate required to be identified on the outside of the mailer?

No. The candidate’s name and address must be identified on the flyer only.

D. If a committee has more than one address, can any of the addresses be used on mass mailings?

Any address that is on the committee’s Statement of Organization (Form 410) on file with the Secretary of State may be used.

E. A committee pays for a candidate’s mailing as a nonmonetary contribution. Must the committee paying for the mailing or the candidate’s committee be identified on the outside of the mailing?

The committee that pays for the mailing must be identified on the outside of the mailing.
F. If a candidate’s committee is sending a postcard-type mailing, may the name of the committee appear only once?

Yes. The name must appear only once. The committee’s address must also be included.

G. Where on the outside of the mailing must the candidate identification be placed?

There is no specific requirement for the location of the sender identification as long as it appears on the outside of the mailing. The words “paid for by” must be immediately in front of or above the committee name and address.

H. What type of disclosure is required for a committee that sends independent expenditure ads on candidates through Twitter?

Committees making independent expenditures via electronic media ads on Twitter may satisfy the Act’s disclosure requirements in one of two ways: (1) providing its full disclosure statement on its Twitter profile/landing page or (2) including the phrase “Who funded this ad?” on its Twitter profile/landing page immediately followed by a hyperlink to an Internet Web site containing the full disclosure statement.

**Authority**

The following Government Code sections and Title 2 regulations provide authority for the information in this chapter:

**Government Code Sections**

82025    Expenditure.
82031    Independent Expenditure.
82041.5  Mass Mailing.
82044    Payment.
82047    Person.
84305 Requirements for Mass Mailing.
84310 Identification Requirements for Telephone Calls.
84501 Advertisement.
84502 Disclaimer; Committee Name.
84503 Top Contributor Disclosure.
84504 Disclaimer; Radio and Telephone Ads.
84504.1 Disclaimer; Video and Television Ads.
84504.2 Disclaimer; Print Ads.
84504.3 Disclaimer; Electronic Media Ads.
84504.4 Disclaimer; Radio and Television Ads; Political Parties and Candidates.
84504.5 Disclaimer; Independent Expenditure Ads; Political Parties and Candidates.
84505 Avoidance of Disclosure.
84506.5 Disclaimer; Independent Expenditure Ads; Not Authorized by Candidate.
84509 Amended Disclaimers.
84511 Ballot Measure Ads; Paid Spokesperson Disclosure.

**Title 2 Regulations**

18215 Contribution.
18225.7 Made At the Behest of; Independent versus Coordinated Expenditures.
18247.5 Primarily Formed Committees.
18401 Required Recordkeeping for Chapters 4 & 5.
18435 Definition of Mass Mailing.
18440 Telephone Advocacy.
18450.1 Definitions. Advertisement Disclosure.
18450.5 Amended Advertising Disclosure.
18450.11 Spokesperson Disclosure.
18523.1 Written Solicitation for Contributions.
Committee Report – Form 460

Generally, candidate controlled committees and committees primarily formed to support or oppose a candidate(s) use the Recipient Committee Campaign Statement (Form 460) to report campaign activity for all semi-annual and preelection statements. The Form 460 is the main campaign disclosure statement and provides the public with an overview of the committee’s activity, including money coming in and money going out, during a specified reporting period.

The statement must include all activity during the specified reporting period, even if it was previously reported. For example, a contribution that was already reported on the Form 497 (24-Hour/10-Day Contribution Report) must still be reported on the committee’s next Form 460.

A primarily formed committee may file the Form 450 (Committee Campaign Statement – Short Form) instead of the Form 460 if, during the reporting period, the committee:

- Has not received a contribution that must be itemized (a cumulative amount of $100 or more from a single source);
- Has not received any other payment of $100 or more (miscellaneous increases to cash);
- Has no outstanding loans made or received; and
- Has no accrued expense (unpaid bills).

A primarily formed committee that has not received any contributions and has not made any expenditures during the six-month period covered by a semi-annual statement may file the Form 425 (Semi-Annual Statement of No Activity).

This chapter discusses how to complete the Form 460 and provides examples for each type of campaign activity that may have to be reported. The Forms 450 and 425 are available on the FPPC’s website and include detailed instructions for completing the forms.
A. Completing the Form 460 Cover Page

A Statement Covers Period

If this is the first statement of the calendar year, the “from” date should be January 1. Otherwise, this date should be the day after the closing date of the most recently filed campaign statement. The closing date depends on the type of statement being filed (e.g., semi-annual, preelection). The period covered will be identified on the filing schedule for the specific election.

B Date of Election

When filing a preelection statement in connection with an election, provide the date of the election.
1 **Type of Recipient Committee**

Check the appropriate box to indicate the type of committee:

- Officeholder/Candidate Controlled Committee: Complete Cover Page Parts 1, 2, 3, 4, and 5.

- Primarily Formed Candidate/Officeholder Committee: Complete Cover Page Parts 1, 2, 3, 4, and 7.

2 **Type of Statement**

Check the appropriate box to indicate the type of statement being filed (e.g., semi-annual, preelection).

3 **Committee Information and Treasurer(s)**

This entire section must be completed and should include the same information as provided on the committee’s most recently filed Statement of Organization (Form 410). If the committee has not yet received an identification number from the Secretary of State, enter “pending” in the “I.D. Number” box.

4 **Verification**

All campaign statements are signed under penalty of perjury and must be verified by the committee treasurer or the assistant treasurer named on the committee’s Statement of Organization (Form 410). The verification states that the signer has used all reasonable diligence in its preparation, and that to the best of his or her knowledge, it is true and complete. The Form 460 is not considered filed if it is not signed.

If an officeholder or candidate controls the committee, he or she also must sign the verification. If two or three officeholders or candidates control the committee, each of them must sign the verification. If more than three officeholders or candidates control the committee, one may sign the verification on behalf of the others.

Some local agencies may require local candidates and committees to file campaign statements electronically. The electronic filing system must include a procedure for filers to comply with the requirement that they sign the statements under penalty of perjury.
## Officeholder or Candidate Controlled Committee

Provide the name of the officeholder or candidate controlling the committee and indicate the office sought or held, including the location and district number, if any. If more than one candidate controls the committee, include the required information for all controlling candidates in an attachment.

### Related Committees Not Included in this Statement

If the officeholder or candidate controls any other committees (i.e., ballot measure committee, legal defense fund committee, another election committee), those committees must be listed. If the candidate is aware of any primarily formed committees that exist to...
receive contributions or to make expenditures on behalf of his or her candidacy, those committees must also be listed.

6 Primarily Formed Ballot Measure Committee

Candidate controlled committees and primarily formed candidate/officeholder committees do not complete Part 6.

7 Primarily Formed Candidate/Officeholder Committee

Provide the name(s) of the officeholder(s) or candidate(s), the office(s) sought or held, and indicate whether the committee is supporting or opposing the officeholder(s) or candidate(s).
C. Completing the Form 460 Summary Page

The Summary Page provides an overview of the committee’s financial activities, including all contributions received and expenditures made during the period covered by the statement. The Summary Page also includes the cumulative totals for contributions received and expenditures made during the calendar year. Although the Summary Page is located at the beginning of the Form 460, it should be completed last. Totals from certain schedules are carried forward to the Summary Page.
**Column A – Total This Period**

This column reflects the committee’s activity through the current reporting period as reported on Schedules A through I. If there is no activity to report on a particular schedule, enter a zero or the word “none” on the appropriate line in Column A. There should be no blank lines.

**Column B – Total to Date**

This column generally reflects the cumulative totals since January 1 of the current calendar year. However, there is an exception if a committee is required to file a preelection statement in one year in connection with an election held in another year, such as elections held in January or early February. In this case, the cumulation period begins on January 1 of the year before the election and ends on the closing date of the semi-annual statement filed after the election.

Add the totals from Column B of the committee’s last campaign statement (if any) to the corresponding amounts in Column A to calculate the Column B totals for the current statement. If this is the first report being filed for a calendar year, only carry forward the amounts for loans and accrued expenses reported on Lines 2, 7, and 9 of Column B 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, H, and F, respectively, of the current report.)

When loans (Schedules B and H) and accrued expenses (Schedule F) are paid, the figures to be carried forward 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.

**Lines 1-5 (Contributions Received)**

Collectively, these lines represent contributions received: monetary, nonmonetary, and loans.
2 Lines 6-11 (Expenditures Made)

Collectively, these lines represent expenditures made: payments, loans made, accrued expenses (bills that are still outstanding), and nonmonetary adjustments.

3 Lines 12-16 (Current Cash Statement)

The Current Cash Statement section should accurately reflect the committee’s cash position at the end of the reporting period. If deposits or expenditures have been made that have not cleared the bank account, the committee’s bank balance may not match the ending cash balance.

Beginning and ending cash balances should include the total amount of funds in the committee’s 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.

Line 12 (Beginning Cash Balance)

The beginning cash balance must be the same as the ending cash balance reported on Line 16 of the previously filed statement. If this is the first statement of the calendar year and no previous statement has been filed but money was raised or spent in the previous reporting period, enter the amount of cash on hand on December 31. Otherwise, enter zero.

Line 13 (Cash Receipts)

This amount represents the total of all monetary contributions and loans received during the reporting period. Nonmonetary contributions should not be included.

Line 14 (Miscellaneous Increases to Cash)

This amount represents increases to the committee’s cash position that are not contributions, loans, or repayments of loans made to others. Miscellaneous increases to cash include, for example, interest received from a bank account, refunds received from vendors, and proceeds from the sale of campaign property or auction items. The amount is carried forward from Schedule I.
Together, Lines 13 and 14 reflect all money that has been received during the current reporting period.

**Line 15 (Cash Payments)**

This amount represents the total amount the committee has spent during the reporting period, including loans made and any accrued expenses paid.

**Line 16 (Ending Cash Balance)**

This amount represents the total of Lines 12, 13, and 14 minus Line 15. The amount reported on Line 16 must equal the total amount of cash the committee has in its campaign bank account and the amount of all funds held in interest bearing accounts, certificates of deposit, money market accounts, shares in government bonds, or any other investments that can be readily converted to cash.

If this is a termination statement, Line 16 must be zero.

**Line 17 (Loan Guarantees Received)**

This amount represents the total of all loan guarantees, endorsements, or security received during the period. The amount is carried forward from Schedule B, Part 2.

**Line 18 (Cash Equivalents)**

This amount includes investments that cannot be readily converted to cash, as well as the balance due on all outstanding loans the committee has made to others.

Do not include any amount that is invested in interest bearing accounts, certificates of deposit, money market accounts, or any other investments that can be readily converted to cash. These amounts should be part of the ending cash figure reported on Line 16.

**Line 19 (Outstanding Debts)**

This amount is the total of all money owed by the committee. Using Column B, add Line 2 (loans received) and Line 9 (accrued expenses).
Lines 20, 21, & 22

These lines are for certain state candidates only. Local committees do not complete these sections.

Answering Your Summary Page Questions

A. Is there any circumstance where Line 16, Ending Cash Balance, would be a negative amount?

If you report a negative amount on Line 16, this means that either you have made a mathematical error in your calculations or the committee’s bank account is overdrawn. Rounding off also may cause a small negative in the cash on hand balance.

B. Is there any circumstance where an amount in Column A would be negative?

Yes. When loans and accrued expenses are paid down, the amount reflected in Column A may be a negative amount.

C. What should I do if I am unable to balance my accounting records by the filing deadline?

Since the Political Reform Act does not provide for filing deadline extensions, complete the form as accurately as you can and file by the deadline. You should file an amendment with the corrections as soon as possible.

D. What is the most common mistake made on the Form 460 Summary Page?

Loan repayments are often reported twice, once on Schedule B and again on Schedule E. When the committee makes a loan repayment, it should only be reported on Schedule B.
D. General Rules for Reporting Contributions Received on Schedule A

Chapter 3 provides detailed information on the following topics, as well as other contribution reporting rules. The information below is a short summary of some of the most common reporting rules.

$5,000 Contributor – Major Donor Notice

If contributions totaling $5,000 or more are received from a single source in a calendar year, a “major donor” notice must be sent to the contributor within two weeks. If a contribution of $10,000 or more is received from a single source within 90 days before the election or on the date of the election, the notice must be sent within one week. Do not send the notice if the contribution is from another recipient committee.

Joint Checking Account

If a check is received that is imprinted with two individuals’ names, report the contribution from the person who signed the check. However, if both individuals signed the check, or one signed the check but both have signed an accompanying document indicating that the contribution is from both, then report 50 percent of the contribution amount from one individual and 50 percent from the other, unless the document attributes specific amounts to each contributor.

Reporting Earmarked Contributions

A committee that makes a contribution to another committee earmarked for a third specifically identified committee must disclose the specifically identified committee as the recipient of the contribution and the other committee as an intermediary at the time the earmarked contribution is made. The specifically identified committee must disclose the contributor and intermediary at the time the funds are received from the intermediary. The intermediary must disclose receipt of the funds as a miscellaneous increase to cash on Schedule I of Form 460 at the time the funds are received and must disclose the expenditure as the transfer of an earmarked contribution from the contributor to the specifically identified committee at the time the funds are given to the specifically identified committee.

Ex 8.1 - Sarah Gomez made a $500 contribution to your committee and notified you that she would later be reimbursed by her employer, Hilltop Dairy. Your committee will report Hilltop Dairy as the source of the contribution and must also disclose Sarah as the intermediary.
A committee that makes a contribution to another committee and subsequently reaches an agreement with that committee that all or a portion of the contribution would be used for another committee, ballot measure or candidate must include a notation on its next statement that the original contribution was subsequently earmarked, including the name of the specifically identified committee, ballot measure, or candidate. The committee that initially received the funds must also include a notation on its next statement that the original contribution was subsequently earmarked and must disclose the original contributor to any new committee to which it transfers the earmarked funds. The new committee shall disclose the true source of the contribution with a notation that the contribution was earmarked to the specific ballot measure or candidate.

A committee that makes a contribution earmarked for a specifically identified ballot measure or candidate must disclose a contribution to the committee that received the contribution with a notation that the contribution was earmarked to the specific ballot measure or candidate. The committee receiving the earmarked contribution must disclose the contributor with a notation that the contribution was earmarked for the specific ballot measure or candidate when the contribution is received. This committee is solely responsible for disclosing the ultimate use of the earmarked contribution, whether by contribution or expenditure, at the time the funds are used. If the committee receiving the earmarked contribution contributes any portion of the contribution to another committee to support or oppose the specifically identified ballot measure or candidate, that committee shall disclose the true source of the contribution to the new committee receiving the earmarked funds for disclosure on the new committee’s campaign report. The new committee shall disclose the true source of the contribution with a notation that the contribution was earmarked to the specific ballot measure or candidate.

**Intermediary**

If a contribution of $100 or more is received from a person who is acting as an intermediary for the true source of the contribution, disclose both the true source of the contribution and the intermediary. Failure to report the true source of a contribution is a serious violation of the Act.
Contributions from Family Trusts

If a contribution is received from a family trust account, it is attributed to the person who directed the contribution.

Aggregating Contributions

There are a variety of situations in which contributions from two or more contributors must be aggregated for reporting purposes. For example, when an individual who is the sole proprietor of a company makes a contribution from company funds and another contribution from personal funds, these contributions are added together for reporting purposes. Additional information and several examples are included in Chapter 3.

If contributions that must be aggregated are received from a major donor (i.e., an individual or business entity that makes contributions totaling $10,000 or more in a calendar year), the major donor must notify each committee to which it makes a contribution of the name under which the major donor is filing its campaign statement (Form 461). When reporting the contribution received, the recipient of the contribution must identify the name under which the major donor is filing its Form 461 and the name of the contributor, if it is different.

Contributor Information

If a committee receives a contribution of $100 or more, but does not receive the required contributor information (name, address, and if the contributor is an individual, his or her occupation and employer) within 60 days of receiving the contribution, the committee must return the contribution to the contributor. Contributions may be deposited in the committee's bank account pending receipt of the information, in which case they must be reported on the next campaign statement (Form 460) filed. The campaign statement must be amended within 70 days from its closing date to disclose the missing contributor information, unless the contribution was returned to the donor.
See the chart below for examples of acceptable ways to report an individual’s occupation and employer.

<table>
<thead>
<tr>
<th>Complete</th>
<th>Incomplete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Retired</td>
<td>Manager</td>
</tr>
<tr>
<td>Consultant, A Better Business</td>
<td>Next Door Neighbor</td>
</tr>
<tr>
<td>Agency</td>
<td>Friend</td>
</tr>
<tr>
<td>Self-Employed, No Separate</td>
<td>ABBA (no acronyms)</td>
</tr>
<tr>
<td>Business Name</td>
<td>Business Person</td>
</tr>
<tr>
<td>Homemaker or Student</td>
<td>Entrepreneur</td>
</tr>
<tr>
<td>Private Investor: stocks &amp; bonds</td>
<td>Investor</td>
</tr>
<tr>
<td>Lawyer, Ortiz &amp; Smith</td>
<td></td>
</tr>
</tbody>
</table>

Contributions of $100 or more must be returned within 60 days if individual’s name, street address, occupation, and employer are not obtained.

Calendar Year Cumulation Exception

The cumulation period for a statement is generally January 1 through December 31 of the current calendar year. However, there is an exception if a committee is required to file a preelection statement in one calendar year in connection with an election held in the next calendar year, such as elections held in January or early February. In this case, the cumulation period begins on January 1 of the year before the election and ends on the closing date of the semi-annual statement filed after the election.

Returned Contributions

Not Deposited: A contribution need not be reported if it is not cashed, negotiated, or deposited and is returned to the contributor before the closing date of the campaign statement on which it would otherwise be reported. A contribution of $1,000 or more received in the 90 days prior to the election, or on the date of the election, need not be reported if it is not cashed, negotiated, or deposited and is returned to the contributor within 24 hours of receipt.

Ex 8.3 - A city calls a February 4 special election to fill a vacant city council position. Candidates running in the February 4 election are required to file two preelection statements in connection with the election. The first preelection statement is due in December of the year prior to the year in which the election will be held. In this case, the cumulation period begins on January 1 of the year before the election and ends on the closing date of the semi-annual statement filed after the election.
**Deposited, Negotiated, or Returned After Closing Date:** A contribution that is cashed, negotiated, or deposited, and is not returned prior to the closing date of the campaign statement, must be reported on Schedule A. If the contribution is returned within 30 days of receipt, and within the reporting period, the return may be shown as a negative figure on Schedule A. Otherwise, the return of the contribution must be reported on Schedule E.

**Returned for Insufficient Funds:** If the committee deposits a check and the check is returned from the bank due to insufficient funds, both the receipt and the return of the contribution may be reported on Schedule A (the return will be reported as a negative amount) if the committee returns the check to the contributor during the same reporting period. Otherwise, the return of the contribution must be reported on Schedule E.

**Transfers**

If campaign funds are transferred from one of a candidate’s controlled local election committees to another, the transfer is reported by the receiving committee on Schedule I, not on Schedule A.

**Enforceable Promises**

If a contribution is received in the form of an “enforceable promise” that has not been paid during the period, report the contribution as a memo entry on Schedule A.

Disclose the date of the promise, all of the required information about the contributor, and the amount promised, but do not include the amount in the summary totals. When the contributor makes the actual payment, fully disclose the contribution on Schedule A, if the payment is made to the committee, or on Schedule C, if the contributor pays the vendor directly, and include the amount in the appropriate summary section.
Installment Payments

Contributions may be received as installment payments made at regular intervals over a period of time via credit card, debit card, wire transfer, or similar electronic means. When a contributor authorizes a series of installment payments, the contribution is reported as received when the committee, or agent of the committee, obtains possession or control of the funds for each installment payment.
### Schedule A
#### Monetary Contributions Received

**Amounts may be rounded to whole dollars.**

**Statement covers period**

from ___/___/XX through ___/___/XX

**CALIFORNIA FORM 460**

**Schedule A**

<table>
<thead>
<tr>
<th>Date</th>
<th>Name</th>
<th>Street Address</th>
<th>City, Zip Code</th>
<th>Contrib Code</th>
<th>Amount Received This Period</th>
<th>Cumulative To Date Calendar Year</th>
<th>Per Election To Date (IF REQUIRED)</th>
</tr>
</thead>
<tbody>
<tr>
<td>9/2/XX</td>
<td>Joey's Super Market</td>
<td>500 North Mesa Street</td>
<td>Oakmont, CA 95443</td>
<td>IND</td>
<td>$5,000</td>
<td>$5,000</td>
<td></td>
</tr>
<tr>
<td>10/15/XX</td>
<td>Martin Developers</td>
<td>1650 Wingfield Road</td>
<td>Oakmont, CA 95443</td>
<td>IND</td>
<td>$198</td>
<td>$198</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Intermediaries:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Marcus Brown $99</td>
<td>325 Richmond Road, Oakmont</td>
<td>CA 95443</td>
<td>IND</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Sales Representative,</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Martin Developers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12/15/XX</td>
<td>Angel Trujillo</td>
<td>6688 Fourth Avenue</td>
<td>Oakmont, CA 95443</td>
<td>IND</td>
<td>$75</td>
<td>$300</td>
<td></td>
</tr>
</tbody>
</table>

**SUBTOTAL** $5,273

**Schedule A Summary**

1. Amount received this period – itemized monetary contributions. (Include all Schedule A subtotals.) ................................................................. $ 5,273
2. Amount received this period – unitemized monetary contributions of less than $100 ............................................. $ 1,500
3. Total monetary contributions received this period. (Add Lines 1 and 2. Enter here and on the Summary Page, Column A, Line 1.) .......... TOTAL $ 6,773

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**E. Completing the Form 460 Schedule A (Monetary Contributions Received)**

Schedule A is used to report monetary contributions received by the committee, except for loans received, which are reported on Schedule B. Payments received for repayments on loans made to others are reported on Schedule H. Payments received that are not contributions, loans, or repayments of loans made to others, are reported as miscellaneous increases to cash on Schedule I.
1 Date Received

Enter the date the committee obtained possession or control of the contribution. For instance, in the case of a check, report the date the check was received, which may differ from the date the check was written and the date the check was deposited.

For contributions received by electronic transaction (such as credit card, debit account, or wire transfer, including those received over the Internet), report the date the committee received or had control of the credit/debit account information or other payment information, or the date the committee received or had control of the funds, whichever is earlier. Chapter 2 provides several examples of different types of contributions and when they are deemed “received.”

2 Contributor Information

Itemize persons that have contributed to the committee a cumulative amount of $100 or more during the calendar year. Provide each contributor’s full name, street address, city, state, and zip code. Many local agencies require itemization at a lower threshold so check with your elections office.

If the contributor is a recipient committee, report that committee’s identification number. If an identification number has not yet been assigned or is unknown, report the full name, street address, city, state, and zip code of that committee’s treasurer.

If a contribution is received through an intermediary, provide the name, street address, city, state, zip code, and, if applicable, occupation and employer, of both the intermediary and the true source of the contribution. (See Chapter 3.)

3 Contributor Code

For each itemized contributor, check the appropriate box to indicate whether the contributor is an individual, a committee, “other” (such as a business entity), or a political party. (The code “SCC” is for small contributor committees and is applicable only to state candidates and committees.)

Ex 8.4 - Wade Murphy contributed $25 to your committee during the first reporting period of the calendar year. On your committee’s first campaign statement, Wade’s contribution was not required to be itemized. During the second reporting period, Wade contributed $99 to your committee. Since his cumulative contributions for the calendar year are now $100 or more, Wade must be itemized on the second campaign statement. The $99 contribution will be reported under “amount received this period” and $124 will be reported as the “cumulative to date” total. His name, address, occupation, and employer must also be disclosed.
4 Occupation and Employer Information

If the contributor is an individual, provide the individual's occupation and the name of his or her employer. If the individual is self-employed, provide the name of his or her business. Do not leave this column blank. If the information has not yet been obtained, enter "requested" or similar language and amend Schedule A when the information has been received.

As explained in Chapter 2, a contribution of $100 or more must be returned if the contributor's name, street address, and if the contributor is an individual, his or her occupation and employer are not in the committee's records within 60 days of receipt of the contribution.

5 Amount Received This Period

Report the amount of the contribution.

6 Cumulative to Date

Enter the cumulative amount of contributions (including monetary contributions, nonmonetary contributions, loans, and loan guarantees) received from the contributor. Contributions from a single source are generally cumulated from January 1 through December 31 of the current calendar year. However, there is an exception to calendar year cumulation if the committee is required to file a preelection statement in one calendar year in connection with an election held in the next calendar year. See “Calendar Year Cumulation Exception” under Section D., General Rules for Reporting Contributions Received on Schedule A.

The amount listed in the “Cumulative to Date Calendar Year” column will differ from the “Amount Received This Period” column if the committee has received other contributions, including nonmonetary contributions, loans, or loan guarantees from the same source during the calendar year. Once a committee has received $100 or more from a contributor in a calendar year, all future contributions received from that contributor in that calendar year, regardless of the amount, must be itemized.
7 Per Election to Date

The “Per Election to Date” column is generally for state candidates and committees that are subject to contribution limits. The Act does not contain contribution limits for local candidates and committees; however, local ordinances may include limits and other restrictions and reporting requirements. Local candidates and committees should check with the local elections office about reporting obligations under local laws.

8 Schedule A Summary

Complete the Schedule A Summary section by entering the total amount of itemized contributions ($100 or more) received this period on Line 1 and the total amount of unitemized contributions (less than $100) received this period on Line 2. Add Lines 1 and 2 and enter that amount on Line 3. The amount on Line 3 is carried forward to the overall Summary Page, Column A, Line 2.
Schedule B – Part 1  
Loans Received

**F. Completing the Form 460 Schedule B – Part 1 (Loans Received)**

Schedule B is used to report activity on loans received by the committee. Outstanding loans are reported on each campaign statement until they are paid off or forgiven. Schedule B has two parts:

- Part 1 lists loans received or outstanding, and the repayment, forgiveness, or payment by a third party of a loan previously received.
- Part 2 lists information about loan guarantors, if any.

---

**Schedule B Summary**

1. Loans received this period .......................................................... $10,000
   (Total Column (b) plus unitemized loans of less than $100.)
2. Loans paid or forgiven this period .............................................. $1,000
   (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 $9,000
   (May be a negative number)

---

- **IND** – Individual
- **COM** – Recipient Committee (other than PTY or SCC)
- **OTH** – Other (e.g., business entity)
- **PTY** – Political Party
- **SCC** – Small Contributor Committee

---

**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

---

**Quick Tip**

If the committee has drawn on a line of credit, it is reported as a loan.
1 Lender Information and Contributor Code

Provide the full name, street address, city, state, and zip code, of each lender of $100 or more. For each itemized lender, check the appropriate box to indicate whether the lender is an individual, a committee, “other” (such as a business entity), or a political party. (The code “SCC” is for small contributor committees and is applicable only to state candidates and committees.)

Financial Institution

If a financial institution (i.e., bank or credit union) has made a loan to the committee, or the committee has drawn on a line of credit from a financial institution, report the institution as the lender, even if the candidate has established the line of credit.

2 Individual Lender

If the lender is an individual (including a candidate or officeholder using personal funds to make a loan to his or her committee), provide the individual’s occupation and the name of his or her employer. If the individual is self-employed, provide the name of his or her business. Do not leave this column blank. If this information has not yet been obtained, enter “requested” or similar language and amend Schedule B, Part 1, when the information is received. (See Chapter 2 for information about the requirement to return contributions/loans if the name, address, occupation, or employer information is not received.)

Loan Amounts

a Outstanding Balance Beginning This Period

Enter the outstanding loan balance at the beginning of this reporting period (Column (d) of the last report filed). If the loan was received this period, enter zero.

b Amount Received This Period

Enter the amount received from the lender during this reporting period. If this loan was received in a previous reporting period, enter zero.
c  **Amount Paid or Forgiven This Period**

Enter the amount of any reduction of the loan during this reporting period. Check the appropriate box to indicate whether the reduction was a payment or forgiveness. When the lender forgives all or part of a loan, or a third party makes a payment on a loan, also report the lender or third party on Schedule A as a contributor. Enter zero if no payments were made during this reporting period.

d  **Outstanding Balance at Close of This Period**

Enter the outstanding balance of the loan at the close of this reporting period. Enter the due date, if any.

e  **Interest Paid This Period**

Enter the interest rate and the amount of interest paid on the loan during this reporting period. If the lender is not charging interest, indicate “none” on the “interest rate” line. Interest paid is reported separately from payments made on the loan principal. Interest payments are also transferred to the Schedule E Summary.

f  **Original Amount of Loan**

Enter the original amount of the loan and the date it was received. If this is the first time the loan is being reported, this is the same amount as reported in Column (b).

Do not report the repayment of a loan on Schedule E. Only the “Interest Paid This Period” should be reported on Schedule E.

g  **Cumulative Contributions to Date**

Enter the cumulative amount of contributions (including loans, loan guarantees, monetary and nonmonetary contributions) received from the lender. Contributions from a single source are generally cumulated from January 1 through December 31 of the current calendar year. However, there is an exception to calendar year cumulation if the committee is required to file a preelection statement in one calendar year in connection with an election held in the next calendar year. See “Calendar Year Cumulation Exception” under Section D., General Rules for Reporting Contributions Received on Schedule A.
The “Per Election to Date” column is generally for state candidates and committees that are subject to contribution limits. The Act does not contain contribution limits for local candidates and committees; however, local ordinances may include limits and other restrictions and reporting requirements. Local candidates and committees should check with the local elections office about reporting obligations under local laws.

3 Schedule B Summary

Complete the Schedule B Summary by entering the total amount of loans received this period on Line 1 and the total amount of loans paid or forgiven on Line 2. Subtract Line 2 from Line 1 and enter the difference (net change this period) on Line 3. The amount on Line 3 will be a negative amount when the loans paid or forgiven this period are more than the amount of new loans received. The amount on Line 3 is carried forward to the overall Summary Page, Column A, Line 2.

Outstanding Loans Received (Summary Page – Column B, Line 2)

Loans received are carried forward on future statements until they are paid off or forgiven. To determine the amount for Column B, Line 2 of the overall Summary Page, add the amount from Column A, Line 2 of this statement to the amount of Column B, Line 2 of the previous statement. If the amount in Column A, Line 2 is a negative number, subtract it from the amount in Column B, Line 7 of the previous statement.
G. Completing the Form 460 Schedule B – Part 2 (Loan Guarantors)

1 Guarantor Information

If someone other than the controlling candidate co-signs, endorses, or provides security for a loan of $100 or more, enter the full name, street address, city, state, and zip code, of the guarantor.

Lines of Credit

If a third party establishes a line of credit of $100 or more for the committee, enter the third party’s full name, street address, city, state, and zip code, as the guarantor.

2 Contributor Code

For each itemized guarantor, check the appropriate box to indicate whether the guarantor is an individual, committee, “other” (i.e., business entity), or a political party. (The code “SCC” is for small contributor committees and is applicable only to state candidates and committees.)

3 Individual Loan Guarantor

If the guarantor is an individual, provide the individual’s occupation and the name of his or her employer. If the individual is self-employed, provide the name of his or her business. Do not leave this column blank.

<table>
<thead>
<tr>
<th>NAME OF FILER</th>
<th>FULL NAME, STREET ADDRESS AND ZIP CODE OF GUARANTOR</th>
<th>CONTRIBUTOR CODE</th>
<th>IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (F SELF-EMPLOYED, ENTER NAME OF BUSINESS)</th>
<th>LOAN</th>
<th>AMOUNT GUARANTEED THIS PERIOD</th>
<th>CUMULATIVE TO DATE</th>
<th>LOAN CONTRIBUTOR CODE</th>
<th>BALANCE OUTSTANDING TO DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Joseph Alvarez</td>
<td>445 C Street, Oakmont, CA 95443</td>
<td>IND</td>
<td>Realtor, Alvarez and Mitchell Realty</td>
<td>LENDER</td>
<td>American Credit Union</td>
<td>$10,000</td>
<td>N/A</td>
<td>$10,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>DATE</td>
<td>7/1/XX</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>CALENDAR YEAR</td>
<td>20XX</td>
<td>PER ELECTION (IF REQUIRED)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>SUBTOTAL</td>
<td>$10,000</td>
<td></td>
</tr>
</tbody>
</table>

Statement covers period from 7/1/XX through 12/31/XX

Amounts may be rounded to whole dollars.
blank. If this information has not yet been obtained, enter “requested” or similar language and amend Schedule B, Part 2, when the information is received.

4 **Loan/Lender**

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.

5 **Amount Guaranteed This Period**

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.)

6 **Cumulative to Date**

Enter the cumulative amount of contributions (including loans, loan guarantees, monetary and nonmonetary contributions) received from the guarantor. Contributions from a single source are generally cumulated from January 1 through December 31 of the current calendar year. However, there is an exception to calendar year cumulation if the committee is required to file a preelection statement in one calendar year in connection with an election held in the next calendar year. See “Calendar Year Cumulation Exception” under Section D., General Rules for Reporting Contributions Received on Schedule A.

The “per election” information is generally only required for state candidates and committees that are subject to contribution limits. The Act does not contain contribution limits for local candidates and committees; however, local ordinances may include limits and other restrictions and reporting requirements. Local candidates and committees should check with the local elections office about reporting obligations under local laws.

7 **Balance Outstanding to Date**

Report the outstanding balance for which the guarantor is liable at the close of the 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 overall Summary Page.

Quick Tip
Schedule C is used to report nonmonetary contributions received by the committee. Nonmonetary contributions are goods or services provided to the committee for which it does not pay the fair market value.

The fair market value is the amount the committee would pay for the goods or services on the open market – whatever it would cost any member of the general public to obtain the same goods or services. (See Chapter 3 for assistance in determining the fair market value of a nonmonetary contribution.)

Examples of Nonmonetary Contributions

- Items donated for a garage sale, raffle, or auction
- Poll results
- Signs, postage, and printing
- Food and entertainment provided for a fundraiser
- Discounts or rebates that are not extended to the general public
- Mailing lists, mailings, and other advertising
- Forgiveness of an accrued expense by the creditor
- Use of an office, automobile, or airplane
- Mail production, postage, printing, shipping, data and graphics
- Phone banking and public communications
- Media consulting services
- Video services

Ex 8.5 - A restaurant donates food for a committee fundraiser. The cost of the food if purchased by the committee would be $1,000. The committee must report $1,000 as the fair market value of the contribution even though the cost to the restaurant was less than the fair market value.
• Staff time and expenses

• Banner ads

• Precinct walking and door hangers

• Food for volunteers

• Slate mailer/slate cards

• Campaign materials, flyers for rally, buttons, t-shirts

• Corporate stock

• Compensation paid by an employer to an employee who spends more than 10 percent of his or her compensated time in a calendar month working on campaign activities for one or more campaigns. Compensation includes gross wages paid and any benefits in lieu of wages, such as stock options or an annuity purchase. Compensation does not include standard benefits, such as the employer’s payments to a retirement or health plan.

See Chapter 3 for exceptions, such as volunteer personal services, home/office fundraisers, and member communications.

Quick Tip

If corporate stock is received as a contribution, the amount reported on Schedule C is the value listed on the stock exchange on the date of receipt. When the stock is sold, the proceeds are reported on Schedule I as a miscellaneous increase to cash. See Chapter 3 for additional information.
## Schedule C
### Nonmonetary Contributions Received

Amounts may be rounded to whole dollars.

### Statement covers period
from __________ 7/1/XX ________

through __________ 12/31/XX ________

### California Form 460

<table>
<thead>
<tr>
<th>DATE RECEIVED</th>
<th>FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR</th>
<th>CONTRIBUTOR CODE</th>
<th>DESCRIPTION OF GOODS OR SERVICES</th>
<th>AMOUNT/FAIR MARKET VALUE</th>
<th>CUMULATIVE TO DATE YEAR (JAN 1 - DEC 31)</th>
<th>PER ELECTION TO DATE (IF REQUIRED)</th>
</tr>
</thead>
<tbody>
<tr>
<td>9/25/XX</td>
<td>Genesis Insurance Company 850 F Street Oakmont, CA 95443</td>
<td>IND, COM, DTH, PTY, SCC</td>
<td>Food for Fundraiser</td>
<td>$1,500</td>
<td>$1,500</td>
<td>N/A</td>
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<tr>
<td>10/1/XX</td>
<td>Citizens for Improving Oakmont (ID 116787XX) 1275 Main Street, Oakmont, CA 95443</td>
<td>IND, COM, DTH, PTY, SCC</td>
<td>Employee Compensation for Campaign Activities</td>
<td>$5,000</td>
<td>$5,000</td>
<td>N/A</td>
</tr>
</tbody>
</table>

**SUBTOTAL** $ 6,500

**Schedule C Summary**

1. Amount received this period – itemized nonmonetary contributions. (Include all Schedule C subtotals). ................................................................. $ 6,500
2. Amount received this period – unitemized nonmonetary contributions of less than $100 ........................................ $ 0
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 $ 6,500

---

### I. Completing the Form 460 Schedule C (Nonmonetary Contributions Received)

#### 1 Date Received

A nonmonetary contribution is received on the earlier of the following:

- The date that funds are expended by the contributor for the goods or services;
- The date that the candidate or committee obtains possession or control of the goods or services; or
- The date the committee receives the benefit of the expenditure.

#### 2 Contributor Information

Itemize persons who have contributed to the committee a cumulative amount of $100 or more during the calendar year. Provide each contributor’s name, street address, city, state, and zip code. Remember to maintain the names and addresses of contributors of $25 or more in your records. (See Chapter 2.)

---

**Ex 8.6** - A general purpose committee, in coordination with your committee, printed a brochure advocating your election to the school board. The committee delivered the brochures to your committee headquarters on February 22 and paid the printing bill on March 15. Your committee received the nonmonetary contribution on February 22.
Contributor Code

For each itemized contributor, check the appropriate box to indicate whether the contributor is an individual, committee, “other” (i.e., business entity), or a political party. (The code “SCC” is for small contributor committees and is applicable only to state candidates and committees.)

Occupation and Employer

If the contributor is an individual, provide the individual’s occupation and the name of his or her employer. If the individual is self-employed, provide the name of his or her business. Do not leave this column blank. If this information has not yet been obtained, enter “requested” or similar language and amend Schedule C when the information has been received.

Description of Goods or Services

Provide a brief description of the goods or services received.

Amount/Fair Market Value

Report the value of the nonmonetary contribution received.

Cumulative to Date

Enter the cumulative amount of contributions (including loans, loan guarantees, monetary and nonmonetary contributions) received from the contributor. Contributions from a single source are generally cumulated from January 1 through December 31 of the current calendar year. However, there is an exception to calendar year cumulation if the committee is required to file a preelection statement in one calendar year in connection with an election held in the next calendar year. See “Calendar Year Cumulation Exception” under Section D., General Rules for Reporting Contributions Received on Schedule A.
Per Election to Date

The “Per Election to Date” column is generally for state candidates and committees that are subject to contribution limits. The Act does not contain contribution limits for local candidates and committees; however, local ordinances may include limits and other restrictions and reporting requirements. Local candidates and committees should check with the local elections office about reporting obligations under local laws.

Schedule C Summary

Complete the Schedule C Summary section by entering the total amount of itemized nonmonetary contributions ($100 or more) received this period on Line 1 and the total amount of unitemized nonmonetary contributions (less than $100) received this period on Line 2. Add Lines 1 and 2 and enter the total on Line 3. The amount on Line 3 is carried forward to the overall Summary Page, Column A, Lines 4 and 10. Reminder: Once a contributor has contributed $100 or more in a calendar year, all future contributions received from that person, regardless of the amount, must be itemized.

Answering Your Nonmonetary Contributions Questions

A. What is the value of the time provided by a graphic artist who volunteers to design a logo for my committee?

The artist’s time is not reportable if it constitutes volunteer personal services. But, if the artist is an employee of a business and spends more than 10 percent of his or her compensated time in a calendar month working on the design, the paid compensation becomes a nonmonetary contribution from the artist’s employer.

B. How do I determine the fair market value of a mailing list provided by another committee?

The most common way for a committee to determine the value is to contact a business from which a similar mailing list may be obtained.
J. General Rules for Reporting Expenditures Supporting/Opposing Other Candidates, Measures, and Committees on Schedule D

Schedule D provides a summary of payments reported on Schedules E, F, and H that are contributions or independent expenditures to support or oppose other candidates, measures, and committees. Such payments include:

- Monetary contributions or loans to other candidates and committees.

- Payments to vendors for goods or services for other candidates and committees (nonmonetary contributions).

- Donations to other candidates and committees of goods on hand, or the payment of salary or expenses for a campaign employee who spends more than 10 percent of his or her compensated time in a calendar month on campaign activities for other candidates or committees (nonmonetary contributions).

- Payments for communications (e.g., mailings, billboards, radio ads) that expressly advocates support of or opposition to a clearly identified candidate or ballot measure, but the payments are not made to, or at the behest of, the candidate or ballot measure committee (independent expenditures).

Candidate Controlled Committees

Payments made to support the controlling candidate’s own candidacy, or to oppose the candidate’s opponent(s), are not reported on Schedule D. These payments are direct campaign expenditures and are reported only on Schedule E.

If, during a calendar year, an officeholder or candidate uses personal funds to make contributions of $10,000 or more, or independent expenditures of $1,000 or more, to support or oppose other officeholders, candidates, committees, or ballot measures (including a controlled ballot measure committee), the candidate must file a Major Donor and Independent Expenditure Committee Campaign Statement (Form 461). These payments are not reported on Schedule D.
Primarily Formed Committees

Payments made for communications that support or oppose the candidate for which the committee is primarily formed are required to be reported on Schedule D as either contributions or independent expenditures, depending on whether the payments were made at the behest of the candidate. These payments are also reported on Schedule E or F.
K. Completing the Form 460 Schedule D (Summary of Expenditures Supporting/Opposing Other Candidates, Measures and Committees)

1. **Date**

Report the date the contribution or independent expenditure was made. A monetary contribution is made on the date it is mailed, delivered, or otherwise transmitted to the officeholder, candidate, or committee.
A nonmonetary contribution is made on the earlier of the following:

- The date an expenditure is made for the goods or services;
- The date the committee or an agent of the committee obtained possession or control of the goods or services; or
- The date the committee otherwise received the benefit of the expenditure.

A payment made in connection with the development, production, or dissemination of a communication that is an independent expenditure must be reported no later than the date the communication is mailed, broadcast, or otherwise disseminated to the public.

A payment for a communication that is never disseminated to the public is not considered an independent expenditure and need not be reported on Schedule D. The payment must be reported on Schedule E as an expenditure.

Candidate and Office, Measure and Jurisdiction, or 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, 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.

Type of Payment

Check the appropriate box to indicate whether the payment was a monetary contribution, nonmonetary contribution, or independent expenditure.
4 Description of Nonmonetary Contribution Where No Payment is Made

Because payments must be described when they are reported on Schedule E or F, a description is not required on Schedule D for payments reported on Schedule E or F that are nonmonetary contributions or independent expenditures. However, if no payment was made, describe the goods or services. For example, if goods on hand (i.e., office supplies) are contributed to another candidate or committee, a description must be included.

5 Amount This Period

Provide the amount(s) of contributions or independent expenditures made this period relative to each candidate, measure, or committee.

6 Cumulative to Date Calendar Year

Report the cumulative amount contributed to or expended to support or oppose each itemized candidate, ballot measure, or committee since January 1 of the current calendar year.

If contributions are made to more than one election committee controlled by the same candidate, report the total amount contributed to all of the committees. Do not cumulate contributions made to a candidate’s election committee with contributions made to other committees controlled by the candidate, such as a ballot measure committee or a legal defense fund committee. Contributions and independent expenditures are cumulative separately.

7 Per Election to Date

If contributions of $100 or more were made to state candidates during a state election cycle, the cumulative amount contributed during the election cycle is reported in this column.

In addition, a local ordinance may require committees in that jurisdiction to report the cumulative amount contributed to a local candidate during a specified period. Check with the local elections office.
**Schedule D Summary**

Complete the Schedule D Summary by entering the total amount of itemized contributions and independent expenditures of $100 or more (Line 1), the total amount of unitemized contributions and independent expenditures of less than $100 (Line 2), and the total amount for both (Line 3). Totals from the Schedule D Summary are not carried forward to the overall Summary Page.

**Answering Your Major Donor Questions**

**A. Must a candidate file the Form 461 (Major Donor and Independent Expenditure Committee Campaign Statement) if he or she makes personal contributions to his or her controlled election campaign committee of $10,000 or more?**

No. A candidate’s contributions to his or her own election committee do not trigger the requirement to file the Form 461. But, if a candidate otherwise qualifies as a major donor committee by making personal contributions of $10,000 or more to other candidates or committees, the Form 461 must also include personal contributions made to his or her own controlled committees.

**B. Must the spouse of a candidate file the Form 461 if he or she makes personal contributions to his or her spouse’s campaign of $10,000 or more?**

If the contributions are made from community funds, neither the spouse nor the candidate will qualify as a major donor. But, if the candidate’s spouse makes contributions from legally separate funds, the spouse will become a major donor and must file the Form 461.

**C. Must a candidate file the Form 461 if he or she makes personal contributions to his or her controlled ballot measure committee of $10,000 or more?**

Yes.
D. Using personal funds, a candidate made contributions totaling $9,000 to other candidates and committees. She also contributed $3,000 to her own election committee. Since the total amount of all contributions made is $12,000, must the candidate file the Form 461 as a major donor?

No. Contributions to a candidate’s own election committee are not counted toward the $10,000 major donor threshold.

L. General Rules for Reporting Payments Made on Schedule E and Accrued Expenses (Unpaid Bills) on Schedule F

Schedule E is used to report money spent by the committee during the reporting period, except for payments made on loans received by the committee or payments made in the form of loans to other candidates or committees. Use Schedule B (Part 1) to report repayments on loans received by the committee. Use Schedule H to report loans made to other candidates and committees.

An expenditure is “made” on the date the payment is made or the date the committee receives the goods or services, whichever is earlier. Use Schedule F to report amounts owed by the committee for goods or services received but not paid for by the end of the reporting period.

Quick Tip

Ex 8.9 - During October and November, your committee:

(a) Paid a deposit on a room for a fundraiser to be held January 10;

(b) Ordered and received the fundraiser invitations for which you were billed but had not made a payment by December 31; and

(c) Ordered, but did not receive, flowers for the fundraiser for which you will be billed at the end of January.

On your semi-annual statement covering the period ending December 31, report the payment for the room deposit on Schedule E. Because you received the invitations but had not paid for them by December 31, report the outstanding amount on Schedule F. The cost of the flowers will not be reported until the next reporting period because you did not pay for nor receive the flowers during the period covered by the statement.
The committee’s unpaid administrative overhead expenses, such as rent, utilities, phones, or employee salaries, need not be reported on Schedule F if the committee has 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. Regular administrative overhead does not include contracts for services such as accounting, legal services, campaign consulting, and public relations.

**Information Required**

Itemize each payment or accrued expense of $100 or more to a single payee, and any payments totaling $100 or more for a single product or service made during the period.

If the committee has entered into an agreement to make payments over time for a product or service, other than general administrative expenses such as rent and utilities, the unpaid balance may be reportable on Schedule F as an accrued expense.

**Payments for Online Communications**

Additional expenditure reporting is required when a committee pays a person to provide favorable or unfavorable content about a candidate or ballot measure on an Internet site other than the committee’s own website. The committee must specifically describe amounts the committee paid to provide favorable or unfavorable content on a candidate or ballot measure by:

- Providing such content for or posting on a website or blog, whether one’s own or another’s.
- Providing such content for or posting on a social media platform.
- Providing such video content for posting online.

Content means that which is offered on a website or other digital platform in writing, picture, video, photograph or other similar format.

**Ex 8.10** - On June 15, your committee received two bills for June services. One bill was from the restaurant where your committee held a fundraiser and the other was for office rent. The due date for both invoices is July 15. If, on June 30, the committee has not paid the two bills, the bill from the restaurant is reported on Schedule F as an accrued expense on your semi-annual statement. Since the rent bill is a regular administrative overhead expense, it does not need to be reported as an accrued expense.
Payments made to an individual, either directly or through a third party, must be reported on Schedule E or F using the code “WEB.” In addition, the following information must be included: the amount of the payment, the payee, the name of the individual providing content, and the name of the website or the URL on which the communication is published in the first instance. The committee is not required to know where the content is shared or passed on to after the initial post. The additional reporting is not required if the fact that the campaign paid for the content is posted in a clearly conspicuous manner with the posted content. (See Regulation 18421.5 for additional information.)

**Savings Accounts/Certificates of Deposit/Money Market Accounts**

Do not report on Schedule E the transfer of campaign funds into a savings account, certificate of deposit, money market account, or the purchase of any other asset that can be readily converted to cash. Report these amounts as cash on hand on the Summary Page, Line 16.

**Transfers**

If a candidate controlled committee transfers funds to another committee controlled by the candidate, the transfer is reported on Schedule E. The receiving committee reports the transfer on Schedule I (Miscellaneous Increases to Cash). There are restrictions on transfers of surplus funds (see Chapter 5) and on transfers of funds to run for state office. (See Campaign Disclosure Manual 1 for State Candidates.)

**Contributions and Independent Expenditures**

If the committee makes contributions and/or independent expenditures to support or oppose other candidates, officeholders, or committees, in addition to reporting the payments or accrued expenses on Schedule E or F, they must also be reported on Schedule D. For payments made for goods or services that are nonmonetary contributions or independent expenditures, also identify the candidate, committee, or ballot measure supported or opposed by the expenditure in the “Description of Payment” column on Schedule E or F.
When a primarily formed committee makes a payment for a communication that expressly advocates support for or opposition to the candidate for whom the committee is formed, the payment is reported as a contribution or independent expenditure. As discussed in Chapter 6, the determination is based on whether the payment was made at the behest of the candidate. If the payment is an independent expenditure, additional forms, such as the Verification of Independent Expenditures (Form 462) and the 24-Hour/10-Day Independent Expenditure Report (Form 496), may be required. (See Chapter 10 for additional information.)

If a primarily formed committee makes payments for contributions or independent expenditures to support or oppose other candidates, officeholders, committees, or ballot measures, it may qualify as a different type of committee (i.e., a general purpose committee), which has different reporting obligations. Contact the FPPC for assistance.

**Subvendor Payments (often reported on Schedule G)**

When an agent or independent contractor (such as a campaign worker, consulting firm, or advertising agency) makes an expenditure, or incurs a debt, of $500 or more on behalf of the committee, the expenditure must be reported in the same detail as if it had been made directly by the committee. These are commonly known as “subvendor payments.” The committee must also obtain and keep receipts, invoices, and other documentation for subvendor payments. (See Chapter 2.)

Examples of subvendor payments that must be itemized include:

- Development of campaign strategy;
- Media placements – television, radio, cable, digital (specifically listing the TV or radio stations);
- Commissions paid to media firms for media placements;
- Travel expenses, such as a commercial airline or hotel paid $500 or more;
• Print or online advertisements;
• Polling and survey research;
• Talent and media services, production costs;
• Voter canvas program, including individuals paid $500 or more;
• Robocalls;
• Printing and literature; and
• Design or management of campaign literature or advertising.

Generally, agents and independent contractors must provide the committee with the required payment information no later than three working days prior to the deadline for filing the campaign statement; however, an expenditure of $1,000 or more made for a contribution or independent expenditure in the 90 days before an election, including the date of the election, must be reported to the committee within 24 hours. Expenditures made by the agent or independent contractor for its own overhead and operating expenses need not be itemized.

In many cases, funds paid to an agent or independent contractor in one reporting period will not be used by the agent or contractor until a subsequent reporting period. Payments to an agent or contractor are reported on Schedule E of the campaign statement covering the period in which the payments are made. When the agent or contractor spends the money, subvendor payments are reported on the campaign statement covering the period in which the expenditures are made. Payments of $500 or more must be itemized.

Subvendor payments are most commonly reported on Schedule G, but may be reported on Schedule E or F along with the payment made or owed to the agent or contractor. When itemizing subvendor payments on Schedule E or F, do not include the payments in the “Amount Paid” column, as this will inflate expenditure totals.

Quick Tip
Ex 8.11 - An agent purchased $535 worth of flowers, $250 worth of postage, and $100 worth of balloons for a fundraiser. Itemize the agent on Schedule E (or Schedule F if the agent was not reimbursed during the reporting period). Provide the agent’s name and address, a code or a description of the expenditures, and the amount being reimbursed ($885). In addition, since the payment to the florist was $500 or more, the florist must also be itemized. Provide the name and address of the florist, a code or description of the expenditure, and the amount paid to the florist ($535).
Credit Card Payments

When reporting payments to a credit card company, provide the name, street address, city, state, zip code, and the amount of payment. In addition, provide the name, street address, city, state, and zip code of any vendor that received $100 or more, the amount paid to each itemized vendor, and a code or description of the payment.

If a payment has not been made on the credit card by the end of the reporting period, or only partial payment has been made, report the amount outstanding to the credit card company on Schedule F. Payments to the credit card company should be reflected on Schedule E when payments are made and Schedule F when there is a balance still owing at the end of the reporting period. Vendors are not required to be listed more than one time, on either Schedule E or Schedule F. Schedule G may also be used to disclose vendors.

Contingency Payments

If the committee has entered into an agreement to pay a contingency fee, such as a bonus to a consultant if the campaign is successful, report the fee amount on Schedule F only if it is outstanding at the end of the campaign. The fee is not required to be reported as an accrued expense until it is due.

Reimbursements – Candidates

Candidates may not use their personal funds for campaign expenses (except for filing and ballot statement fees and the $50 Secretary of State fee) without first depositing them into the campaign bank account.

Reimbursements – Volunteers, Employees, Agents and Contractors

Volunteers (including a candidate’s spouse), employees, and agents or independent contractors (e.g., a consultant or an advertising agent), may be reimbursed for goods, services, or travel expenses when the following criteria are met:

- The treasurer is provided with a dated receipt and a written description of each expenditure prior to reimbursement;
• The reimbursement is paid within 45 calendar days after the expenditure is made; and

• There is a written contract between the committee and the agent or independent contractor providing for the reimbursement of expenditures. (Volunteers and employees do not need a written contract.)

If the reimbursement does not occur within 45 calendar days, the expenditure is considered a nonmonetary contribution from the volunteer, paid employee, agent or independent contractor, unless the person seeking reimbursement has made a good faith effort to obtain reimbursement and is unable to collect from the committee.

**Reimbursements – Officeholders**

Officeholders may be reimbursed for expenses related to holding office paid for from personal funds when the following criteria are met.

• The expenditures are not campaign expenditures;

• The committee’s treasurer is provided with a dated receipt and a written description of the expenditure; and

• Reimbursement occurs:
  - For a monetary expenditure: Within 90 calendar days after the officeholder incurs the expense.
  - For a credit card or charge account: Within 90 calendar days of the end of the billing period.

If the reimbursement does not occur within the 90-day period, the amount must be reported as a nonmonetary contribution from the officeholder to the committee and no reimbursement may occur.

An officeholder may be reimbursed from either the controlled committee campaign bank account established for election to the incumbent term of office, or from a controlled committee bank account established for a different election to the same office, if all of the conditions above are met. When reporting reimbursements to the officeholder, subvendor payments of $100 or more must be itemized.
Expenditures Made for Gifts, Meals, and Travel Payments

A candidate controlled committee that makes an expenditure of $100 or more for a gift, meal, or travel must further explain the expenditure in the “Description of Payment” column as described below. The explanation must be provided even if an expenditure code is used.

Gifts: When reporting an itemized expenditure for a gift, the committee must briefly describe the political, legislative, or governmental purpose of the expenditure. In addition, the committee must 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: When reporting an itemized expenditure for a meal (other than a meal reported as an itemized expenditure for travel, as discussed below), the committee must briefly describe the political, legislative, or governmental purpose of the expenditure. In addition, the committee must provide the date of the meal, the number of individuals who were present at the meal, and whether the candidate, a member of his or her 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. (See Chapter 2.)

Ex 8.13 - The mayor’s election committee purchased $50 restaurant gift certificates for two volunteer campaign workers. On Schedule E, the payment must be itemized. In the “Description of Payment” column, the following would adequately describe the payment: “12/5/XX – gift certificates for campaign workers, Linda Davis ($50), and Richard Bailey ($50).”

Ex 8.14 - The committee’s controlling candidate and campaign manager discuss the election campaign during a lunch meeting at a restaurant. The meal was charged to the campaign credit card. On Schedule E, the payment to the credit card company and the restaurant must be itemized. In the “Description of Payment” column, the following would adequately describe the payment: “9/1/XX – Lunch meeting attended by campaign manager and candidate.”
**Travel Payments:** When reporting an itemized expenditure for travel, including lodging and meals, the committee must briefly describe the political, legislative, or governmental purpose of the expenditure. In addition, the committee must also 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 his or her 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. (See Chapter 2.)

**Ex 8.15** - A San Diego elected officeholder attended a fundraiser in Sacramento for a state ballot measure committee. The officeholder’s committee paid for the travel expenses. On Schedule E, the payment to the airline must be itemized. In the “Description of Payment” column, the following would adequately describe the payment: “8/1/XX and 8/3/XX – Round trip airfare to Sacramento for officeholder to attend ballot measure committee fundraiser.”
Schedule E Payments Made

Amounts may be rounded to whole dollars.

Statement covers period from 7/1/XX through 12/31/XX

CALIFORNIA FORM 460

NAME OF FILER: Manuel Alvarez for Mayor 20XX

CODES: If one of the following codes accurately describes the payment, you may enter the code. Otherwise, describe the payment.

- **CAMP**: campaign paraphernalia/misc.
- **CNS**: campaign consultants
- **CTR**: 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)
- **RFD**: returned contributions
- **RAI**: radio airtime and production costs
- **SAL**: campaign workers’ salaries
- **TEL**: t.v. or cable airtime and production costs
- **TRC**: candidate travel, lodging, and meals
- **TRF**: staff/house travel, lodging, and meals
- **TSF**: transfer between committees of the same candidate/sponsor
- **VOT**: voter registration
- **WEB**: information technology costs (internet, e-mail)

### Schedule E Payments Made

<table>
<thead>
<tr>
<th>NAME AND ADDRESS OF PAYEE</th>
<th>CODE</th>
<th>DESCRIPTION OF PAYMENT</th>
<th>AMOUNT PAID</th>
</tr>
</thead>
<tbody>
<tr>
<td>Del Norte County Bank (Visa) 8995 Pine Street, Crescent City, CA 95531</td>
<td>LIT</td>
<td>Mailings and More</td>
<td>$15,000</td>
</tr>
<tr>
<td>Subvendor: Mailings and More</td>
<td></td>
<td>$14,500</td>
<td></td>
</tr>
<tr>
<td>Lam and Pettit Consultants 2720 P Street</td>
<td>PRO</td>
<td>See Schedule G for subvendors</td>
<td>$20,000</td>
</tr>
</tbody>
</table>

*Payments that are contributions or independent expenditures must also be summarized on Schedule D.*

**SUBTOTAL $35,000**

### Schedule E Summary

1. Itemized payments made this period. (Include all Schedule E subtotals.) .................................................... $37,200
2. Unitemized payments made this period of under $100 ........................................................................... $3,500
3. Total interest paid this period on loans. (Enter amount from Schedule B, Part 1, Column (e).) ......................................................................................... $250
4. Total payments made this period. (Add Lines 1, 2, and 3. Enter here and on the Summary Page, Column A, Line 6.) .................................................. TOTAL $40,950

### Schedule E (Continuation Sheet)

Amounts may be rounded to whole dollars.

Statement covers period from 7/1/XX through 12/31/XX

CALIFORNIA FORM 460

NAME OF FILER: Manuel Alvarez for Mayor 20XX

CODES: If one of the following codes accurately describes the payment, you may enter the code. Otherwise, describe the payment.

- **CAMP**: campaign paraphernalia/misc.
- **CNS**: campaign consultants
- **CTR**: 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)
- **RFD**: returned contributions
- **RAI**: radio airtime and production costs
- **SAL**: campaign workers’ salaries
- **TEL**: t.v. or cable airtime and production costs
- **TRC**: candidate travel, lodging, and meals
- **TRF**: staff/house travel, lodging, and meals
- **TSF**: transfer between committees of the same candidate/sponsor
- **VOT**: voter registration
- **WEB**: information technology costs (internet, e-mail)

<table>
<thead>
<tr>
<th>NAME AND ADDRESS OF PAYEE</th>
<th>CODE</th>
<th>DESCRIPTION OF PAYMENT</th>
<th>AMOUNT PAID</th>
</tr>
</thead>
<tbody>
<tr>
<td>Del Norte County Independent Central Committee (ID 11852XX) 18885 Ocean Blvd. Crescent City, CA 95531</td>
<td>CTB</td>
<td>Reimbursement of filing fee</td>
<td>$500</td>
</tr>
<tr>
<td>Manuel Alvarez 4245 McCow Street Oakmont, CA 95443</td>
<td>PRO</td>
<td></td>
<td>$1,500</td>
</tr>
<tr>
<td>Nelson Legal Group, LLC 4950 Professional Blvd. Crescent City, CA 95531</td>
<td></td>
<td>PRO</td>
<td>$200</td>
</tr>
</tbody>
</table>
## M. Completing the Form 460 Schedule E (Payments Made)

### 1. Name and Address of Payee

Itemize each payment of $100 or more made to a single payee during the reporting period, and any payments totaling $100 or more made during the period for a single product of service. Include the name, street address, city, state, and zip code of the payee. Do not use a post office box number when reporting the address of a payee or creditor.

### 2. Code or Description of Payment

When itemizing payments, provide either a code or a description of the payment. Expenditure codes are explained in detail in the Form 460, Schedule E instructions. If none of the codes listed on Schedule E fully explains the expenditure, leave the code column blank and provide a brief description of the goods or services purchased.

If several expenditures are made to one vendor during the same reporting period, all of the payments to the vendor may be reported in a single record. When coding the expenditures, use the code that represents the largest share of the expenditures, and the description field for the other codes or a description. Alternatively, each expenditure may be reported separately by category.

For expenditures that are nonmonetary contributions or independent expenditures, provide the applicable code (“CTB” or “IND”) and disclose the name of the candidate or committee that received the contribution, or the name of the candidate or ballot measure supported or opposed by the independent expenditure. Also include a brief description of the contribution or independent expenditure. These expenditures must also be disclosed on Schedule D.

---

**Quick Tip**

Campaign funds may be used only for certain types of legal payments. See Chapter 5 for information about the permissible uses of campaign funds.

**Quick Tip**

The spouse or registered domestic partner of an elected officer or a candidate for elective office may not receive, in exchange for any services rendered, compensation from campaign funds held by a controlled committee of the officer or candidate.
3 Amount Paid

Enter the total amount paid to the payee during the reporting period.

Payment of Accrued Expenses

When paying for accrued expenses previously reported on Schedule F, report all payments on Schedule E, itemizing each payment of $100 or more. Subvendor information does not need to be reitemized if it was disclosed on Schedule F of a previous statement.

4 Schedule E Summary

Complete the Schedule E Summary by entering the total amount of itemized payments of $100 or more (Line 1) and the total amount of unitemized payments of less than $100 (Line 2). If the committee is paying interest on loans, enter the amount from Schedule B, Part 1, Column (e) on Line 3. The total amount of all payments made is entered on Line 4. The amount on Line 4 is carried forward to the overall Summary Page, Column A, Line 6.
N. Completing the Form 460 Schedule F – Accrued Expenses (Unpaid Bills)

1. Name and Address of Creditor

Itemize each accrued expense of $100 or more owed to a single creditor. Provide the name, street address, city, state, and zip code of the creditor. Do not use post office box numbers. Continue to list an unpaid bill until it is paid off.

2. Code or Description of Payment

When itemizing accrued expenses, provide either a code or a description of the outstanding payment. Expenditure codes are...
explained in detail in the Form 460, Schedule E instructions. If none of
the codes listed on Schedule F fully explains the outstanding payment,
leave the code column blank and provide a brief description of the
goods or services.

If several accrued expenses are owed to one vendor during the same
reporting period, all of the accrued expenses to the vendor may be
reported in a single record. The code that represents the largest share
of the accrued expenses should be used, and the description field may
be used for other codes or descriptions. Alternatively, each accrued
expense may be reported separately by category.

For accrued expenses in connection with nonmonetary contributions
or independent expenditures, provide the applicable code
(“CTB” or “IND”) and disclose the name of the candidate or committee
that received the contribution, or the name of the candidate or ballot
measure supported or opposed by the independent expenditure. Also
include a brief description of the contribution or independent
expenditure. These expenditures also must be disclosed on
Schedule D.

3 Amount Columns

For each itemized accrued expense, report any outstanding balance
remaining for the accrued expense from the previous period in
column (a), the amount of new accrued expenses incurred this period
in column (b), the amount paid this period in column (c), and any
outstanding balance at the close of the period in column (d).

When payments on accrued expenses are made, in addition to
itemizing payments of $100 or more on Schedule F, itemize the
payments on Schedule E. Include unitemized payments on accrued
expenses on Line 2 of the summary section of Schedule E.

Estimating Accrued Expenses

If the exact amount of a debt or obligation is unknown, an estimate
may be reported. When the committee is made aware of the exact
amount, the committee must 1) amend the statement on which the
estimated amount was reported; or 2) make an adjustment on the next
campaign statement by showing the difference between the estimated amount and the actual amount in column (b), “Amount Incurred This Period.” If the actual amount is less than the estimate, the amount listed in column (b) should be a negative number and subtracted from the totals. When reporting estimated amounts or corrections to estimated amounts, note that fact on the campaign statement.

Forgiven Accrued Expenses or Third Party Payments

If a creditor reduces or forgives a debt previously reported on Schedule F, or if another person pays a debt for the committee:

- Indicate that the debt was forgiven, reduced, or paid by a third party and enter “see Schedule C” in the “Description of Payment” column. Also report the creditor or payor and the amount as a nonmonetary contribution on Schedule C.

- Report the amount forgiven, reduced, or paid by a third party in the “Amount Paid This Period” column and indicate that it was a forgiveness or third party payment or report the amount as a negative number in the “Amount Incurred This Period” column. Do not report the amount on Schedule E.

If the decision to forgive or reduce the debt is based on a bona fide business judgment that all or part of the debt is uncollectible, the creditor may not be making a contribution. Contact the FPPC for assistance.

Schedule F Summary

Complete the Schedule F Summary by entering the total amount of accrued expenses incurred on Line 1 and the total amount of accrued expenses paid on Line 2. Subtract Line 2 from Line 1 and enter the difference (net change this period) on Line 3. The amount on Line 3 will be a negative amount when the accrued expenses paid are more than the amount of new accrued expenses. The amount on Line 3 is carried forward to the overall Summary Page, Column A, Line 9.

Ex 8.16 - On its second pre-election statement, the committee’s treasurer reported an estimated accrued expense of $5,000 owed to ABC Printing. An invoice was received during the next reporting period showing the actual amount owed as $4,500. On Schedule F, column (a) of its next statement, the committee will report an outstanding accrued expense of $5,000. In column (b), the amount incurred this period will be a negative $500. The committee paid the entire bill and therefore will report $4,500 as the amount paid this period in column (c), with a zero balance in column (d).
Outstanding Accrued Expenses (Summary Page, Column B, Line 9)

Accrued expenses are carried forward on future statements until they are paid off. To determine the amount for Column B, Line 9 of the overall Summary Page, add the amount from Column A, Line 9 of the current statement to the amount of Column B, Line 9 of the previous statement. If the amount in Column A, Line 9 is a negative number, subtract it from the amount in Column B, Line 9 of the previous statement.

Answering Your Accrued Expenses Questions

A. When are unpaid bills reportable as accrued expenses?

The basic rule is that you must report an accrued expense any time you have received goods or services but have not paid for them by the end of the reporting period.

B. What if our committee has not yet received an invoice from the vendor?

If you have received the goods or services, you must report the accrued expense on Schedule F even if you have not received an invoice. If you do not know the actual amount, you may report an estimate. Once the committee is made aware of the actual amount, the committee must either amend the statement on which the estimated amount was reported or make an adjustment on the next campaign statement by showing the difference between the estimated amount and the actual amount. When reporting estimated amounts or corrections to estimated amounts, note that fact on Schedule F.
C. We have a contract to pay our campaign consultant $1,000 per month. If the closing date of the campaign statement falls during the middle of the month, for example March 17, must we report an accrued expense for the period of March 1 through March 17?

No. When you have agreed in writing to pay a contractor a set amount at regular intervals, it is not necessary to prorate the amount owed to the contractor if the reporting period closes before the end of the contract period. The payment will be reported on the campaign statement for the period in which the payment is made.

D. When an accrued expense is owed and there are subvendor payments, when are the subvendors reported? For example, if we report an accrued expense owed on a credit card and list the subvendors, must we reitemize the subvendors again on Schedules E and F when the accrued expense is paid?

No. It is not necessary to reitemize subvendors when payments are made on accrued expenses, or if an accrued expense is reported on more than one statement. In this example, the subvendors must be reported on the first statement disclosing the accrued expense owed to the credit card company. On subsequent statements, only the credit card company must be itemized.
E. Prior to attending an FPPC webinar and learning that it was not permitted, I used personal funds to pay for some of my campaign expenses before I opened a campaign bank account. How do I report these expenditures on the Form 460?

So that the activity is properly disclosed, you should report the amount of personal funds used on Schedule A as a contribution and Schedule E as an expenditure (itemizing subvendors of $100 or more). If you wish to be reimbursed by the committee, you may report the amount on Schedule F as an accrued expense. If you have already been reimbursed by the committee, you will report the amount on Schedule E as an expenditure itemizing subvendors of $100 or more. 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.

O. General Rules for Reporting Payments Made by an Agent or Independent Contractor on Schedule G

Schedule G is used to report payments made by agents (such as campaign workers) and independent contractors (such as consulting firms or advertising agencies) on behalf of the committee. This schedule may be used in lieu of itemizing these amounts on Schedule E or F. See the general rules for Schedules E and F for additional information.

Schedule G may be completed by the committee from information provided by the agent or independent contractor or it may be completed by the agent or independent contractor. Agents and independent contractors must provide the committee with the required payment information no later than three working days prior to the filing deadline of the campaign statement. If an agent or independent contractor makes an expenditure of $1,000 or more for a contribution or independent expenditure in the 90 days before an election, including the date of the election, they must provide the committee with the required payment information within 24 hours.
### Schedule G
**Payments Made by an Agent or Independent Contractor (on Behalf of This Committee)**

#### Amounts may be rounded to whole dollars.

<table>
<thead>
<tr>
<th>Statement covers period</th>
<th>from ___/1/XX through ___/31/XX</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>7/1/XX through 12/31/XX</td>
</tr>
</tbody>
</table>

#### SEE INSTRUCTIONS ON REVERSE

**NAME OF FILER**

Manuel Alvarez for Mayor 20XX

**NAME OF AGENT OR INDEPENDENT CONTRACTOR**

Lam and Petit Consultants

#### CODES:

If one of the following codes accurately describes the payment, you may enter the code. Otherwise, describe the payment.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CMP</td>
<td>campaign paraphernalia/misc.</td>
</tr>
<tr>
<td>CNS</td>
<td>campaign consultants</td>
</tr>
<tr>
<td>CTB</td>
<td>contribution (explain nonmonetary)*</td>
</tr>
<tr>
<td>CVC</td>
<td>civic donations</td>
</tr>
<tr>
<td>FIL</td>
<td>candidate filing/ballot fees</td>
</tr>
<tr>
<td>FND</td>
<td>fundraising events</td>
</tr>
<tr>
<td>IND</td>
<td>independent expenditure supporting/opposing others (explain)*</td>
</tr>
<tr>
<td>LEG</td>
<td>legal defense</td>
</tr>
<tr>
<td>LIT</td>
<td>campaign literature and mailings</td>
</tr>
<tr>
<td>MBR</td>
<td>member communications</td>
</tr>
<tr>
<td>MTG</td>
<td>meetings and appearances</td>
</tr>
<tr>
<td>OFC</td>
<td>office expenses</td>
</tr>
<tr>
<td>PET</td>
<td>petition circulating</td>
</tr>
<tr>
<td>PHO</td>
<td>phone books</td>
</tr>
<tr>
<td>POL</td>
<td>polling and survey research</td>
</tr>
<tr>
<td>POS</td>
<td>postage, delivery and messenger services</td>
</tr>
<tr>
<td>PRO</td>
<td>professional services (legal, accounting)</td>
</tr>
<tr>
<td>PRM</td>
<td>print ads</td>
</tr>
<tr>
<td>RAD</td>
<td>radio airtime and production costs</td>
</tr>
<tr>
<td>RFD</td>
<td>returned contributions</td>
</tr>
<tr>
<td>SAL</td>
<td>campaign workers’ salaries</td>
</tr>
<tr>
<td>TEL</td>
<td>t.v. or cable airtime and production costs</td>
</tr>
<tr>
<td>TRC</td>
<td>candidate travel, lodging, and meals</td>
</tr>
<tr>
<td>TRS</td>
<td>staff/spouse travel, lodging, and meals</td>
</tr>
<tr>
<td>TSF</td>
<td>transfer between committees of the same candidate/sponsor</td>
</tr>
<tr>
<td>VOT</td>
<td>voter registration</td>
</tr>
<tr>
<td>WEB</td>
<td>information technology costs (internet, e-mail)</td>
</tr>
</tbody>
</table>

* Payments that are contributions or independent expenditures must also be summarized on Schedule D.

#### NAME AND ADDRESS OF PAYEE OR CREDITOR

<table>
<thead>
<tr>
<th>Name and Address of Payee or Creditor</th>
<th>Code (If Committee, Also Enter I.D. Number)</th>
<th>Description of Payment</th>
<th>Amount Paid</th>
</tr>
</thead>
<tbody>
<tr>
<td>KXTL Radio</td>
<td>RAD</td>
<td>Radio Airtime and Production Costs</td>
<td>$2,000</td>
</tr>
<tr>
<td>Good Day Oakmont</td>
<td>TEL</td>
<td>Telephone Services</td>
<td>$7,000</td>
</tr>
<tr>
<td>Northwest Airlines</td>
<td>TRC</td>
<td>Travel and Lodging</td>
<td>$155</td>
</tr>
<tr>
<td>Albino’s Italian Eats</td>
<td>MTG</td>
<td>Meeting Expenses</td>
<td>$125</td>
</tr>
</tbody>
</table>

P. Completing Form 460 Schedule G (Payments Made by an Agent or Independent Contractor)

1. **Name and Address of Payee or Creditor**

   Itemize each payment of $500 or more made by the agent or independent contractor. Provide the name, street address, city, state, and zip code of the payee or creditor. Do not use a post office box number.

2. **Code or Description of Payment**

   When itemizing each payment, provide either a code or a description of the payment. If none of the codes listed on Schedule G fully
explains the payment, leave the code column blank and provide a brief description of the payment. Payments that are contributions or independent expenditures must also be reported on Schedule D.

3 Amount Paid

Enter the total amount paid to the payee during the reporting period.

Schedule G totals are not transferred to any other schedule or to the Summary Page.

Q. General Rules for Reporting Loans Made to Others on Schedule H

Schedule H is for reporting loans made by the committee. Campaign funds may be used to make loans to bona fide charitable, educational, civic, religious, or similar tax-exempt, nonprofit organizations, so long as the loan does not personally benefit the officeholder, candidate, committee treasurer, or any individual with authority to approve the expenditure of campaign funds, or any such person’s immediate family member. The loan must be reasonably related to a political, legislative, or governmental purpose.

Because a loan is considered a contribution, loans to other candidates and committees are subject to applicable state or local contribution limits. Loans to other candidates and committees must also be reported on Schedule D.

Outstanding loans are reported on each campaign statement until they are paid.
### Schedule H

**Loans Made to Others**

**SEE INSTRUCTIONS ON REVERSE**

**NAME OF FILER**
Manuel Alvarez for Mayor 20XX

<table>
<thead>
<tr>
<th>IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)</th>
<th>d</th>
<th>e</th>
<th>f</th>
<th>g</th>
</tr>
</thead>
<tbody>
<tr>
<td>Committee for Bike Lanes in Oakmont, Yes on Measure E (ID 12456XX) 1500 D Street Oakmont, CA 95443</td>
<td>0</td>
<td>0</td>
<td>None</td>
<td>N/A</td>
</tr>
<tr>
<td>a</td>
<td>b</td>
<td>c</td>
<td>d</td>
<td>e</td>
</tr>
<tr>
<td>OUTSTANDING BALANCE BEGINNING THIS PERIOD</td>
<td>AMOUNT LOANED THIS PERIOD</td>
<td>REPAYMENT OR FORGIVENESS OF THIS PERIOD</td>
<td>OUTSTANDING BALANCE AT CLOSE OF THIS PERIOD</td>
<td>INTEREST RECEIVED</td>
</tr>
<tr>
<td>1,000</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

**Statement covers period**

from 7/1/XX through 12/31/XX

**CALIFORNIA FORM 460**

### Schedule H Summary

1. Loans made this period................................................................. $ 1,000 **If Required**
   (Total Column (b) plus unitemized loans of less than $100.)
2. Payments received on loans ........................................................... $ 0
   (Total Column (c) plus unitemized payments of less than $100.)
3. Net change this period. (Subtract Line 2 from Line 1).......................... $ 1,000
   (Enter the net here and on the Summary Page, Column A, Line 7.)

### R. Completing the Form 460 Schedule H (Loans Made to Others)

#### 1 Recipient Information

For each loan of $100 or more that was made or outstanding during the reporting period, provide the recipient’s full name and street address, including the zip code. If the recipient is an individual, provide the individual’s occupation and the name of his or her employer. If the individual is self-employed, provide the name of his or her business.

#### Loan Amounts

##### a Outstanding Balance Beginning This Period

Enter the outstanding loan balance at the beginning of this reporting period (Column (d) of the last report filed). If the loan was received this period, Column (a) should be left blank.
**b Amount Loaned This Period**

Enter the amount loaned to the recipient during this reporting period. If the loan was made in a previous reporting period, Column (b) should be left blank.

**c Repayment or Forgiveness This Period**

Enter the amount of any reduction of the loan during this reporting period. Indicate whether the loan was paid or forgiven. If the committee forgives a loan, also report the transaction on Schedule E and, if the recipient of the loan is a candidate or committee, report the forgiveness as a contribution on Schedule D.

**d Outstanding Balance at Close of This Period**

Enter the outstanding balance of the loan at the close of this reporting period. Enter the due date, if any.

**e Interest Received**

Enter the interest rate and amount of interest received on the loan during this reporting period. Interest received is reported separately from payments received on the loan principal. Interest received is also transferred to the Schedule I Summary.

**f Original Amount of Loan**

Enter the original amount of the loan and the date it was made. If this is the first time the loan is being reported, this will be the same amount as reported in Column (b).

**g Cumulative Loans to Date**

For each loan that is a contribution, enter the cumulative amount of contributions (including loans, loan guarantees, monetary and nonmonetary contributions) made to the recipient during the calendar year covered by the statement. If the recipient is subject to state contribution limits, also enter the total amount contributed in connection with each election and identify the election year. Because loans are contributions, the total amount of contributions made to a state candidate’s committee, including loans, may not exceed the applicable limit. (Loans to candidates or other committees must also be reported on Schedule D.)
Schedule H Summary

Complete the Schedule H Summary by entering the total amount of loans made on Line 1 and the total amount of loan payments received on Line 2. Subtract Line 2 from Line 1 and enter the difference (net change this period) on Line 3. The amount on Line 3 will be a negative amount when the loan payments received this period are more than the amount of new loans made. The amount on Line 3 is carried forward to the overall Summary Page, Column A, Line 7.

Outstanding Loans Made (Summary Page – Column B, Line 7)

Loans made are carried forward on future statements until they are paid off. To determine the amount for Column B, Line 7 of the overall Summary Page, add the amount from Column A, Line 7 of this statement to the amount of Column B, Line 7 of the previous statement. If the amount in Column A, Line 7 is a negative number, subtract it from the amount in Column B, Line 7 of the previous statement.

S. General Rules for Reporting Miscellaneous Increases to Cash on Schedule I

Schedule I is used to report increases to the committee’s cash position that are not monetary contributions, loans, or repayments of loans made to others. Examples include:

- Proceeds, up to the fair market value, of items sold at a garage sale or auction.
- Contributions returned to the committee.
- Refunds received on deposits, such as a telephone or room rental deposit or from over-payment of bills.
- Interest received or credited to a checking or savings account or other time deposit.
- Interest payments received on loans made to others.
- Receipts from the sale of committee assets.
• Transfers of funds received by a controlled committee from another committee controlled by the same candidate. There are special rules for transferring funds to a committee for state office. (See Campaign Disclosure Manual 1.)

• Receipt of earmarked funds when acting as an intermediary. (See Chapter 8.)

**Donated Items**

When reporting sources who have purchased donated items (e.g., items sold at an auction), report the amount received, up to the fair market value, on Schedule I. Any amount in excess of the fair market value is reported as a contribution on Schedule A.

**Uncashed Checks**

If the committee writes a check that is never deposited or negotiated, report the amount of the uncashed check on Schedule I.

**Decreases to Cash**

All decreases to cash must be reported as expenditures on Schedule E or H.

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**Ex 8.17** - A television was donated by Seaside TV Sales for your committee’s auction. The television’s fair market value was $1,000. A person paid $1,500 for the television. Report the purchaser information and report $1,000 in the amount column of Schedule I. On Schedule A also report the purchaser as a contributor of $500, the amount over the fair market value. Seaside will be reported as a contributor of $1,000 on Schedule C for the nonmonetary contribution of the television.
T. Completing the Form 460 Schedule I (Miscellaneous Increases to Cash)

1  Date Received

Report the date the committee received the miscellaneous receipt.

2  Source Information

Itemize sources of $100 or more. Provide the full name, street address, city, state, and zip code of the source. Post office box numbers are not acceptable.

3  Description of Receipt

Provide a description of the receipt (e.g., refund on room deposit for fundraiser, interest earned on loans made to others).

4  Amount of Increase

Enter the amount of the receipt.
5 Schedule I Summary

Complete the Schedule I Summary by entering the total amount of itemized increases to cash of $100 or more on Line 1 and the total amount of unitemized increases to cash on Line 2. Enter the total of all interest received this period on loans made to others (from Schedule H, Column (e)) on Line 3. Add Lines 1, 2, and 3 to determine the total miscellaneous increases to cash this period and enter the amount on Line 4. The amount on Line 4 is carried forward to the overall Summary Page, Line 14.

U. Amending the Form 460

To change or provide information missing from a previously filed Form 460, complete a new Cover Page and check the “Amendment” box under “Type of Statement.” Also check the box indicating the type of statement being amended (e.g., semi-annual, preelection) and enter the period covered by the statement being amended. Provide a brief explanation of the reason for the amendment and attach the schedule(s) being amended, including the Summary Page, if applicable. The amendment is filed with each of the filing officers that received the original filing.
Authority

The following Government Code sections and Title 2 regulations provide authority for the information in this chapter:

**Government Code Sections**

81004  Reports and Statements; Perjury; Verification.
81004.5 Reports and Statements; Amendments.
82013  Committee.
82015  Contribution.
82018  Cumulative Amount.
82025  Expenditure.
82025.5 Fair Market Value.
82044  Payment.
84105  Notification of Contributors.
84203  Late Contribution; Reports.
84211  Contents of Campaign Statement.
84212  Forms; Loans.
84213  Verification.
84216  Loans.
84216.5 Loans Made by a Candidate or Committee.
84302  Contributions by Intermediary or Agent.
84303  Expenditures by Agent or Independent Contractor.
84306  Contributions Received by Agents of Candidates and Committees.
84615  Campaign Reports and Statements – Electronic Filing for Local Agencies.
85201  Campaign Bank Account.
85700  Donor Information Requirements; Return of Contributions.
89511.5 Use of Personal Funds for Incumbent Elected Officers.
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18421  Cash Equivalents.
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18421.6 Reporting Accrued Expenses.
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18423  Payments for Personal Services as Contributions and Expenditures.
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18431  Reporting of Expenditures by an Agent or Independent Contractor.
18432.5 Intermediary and Earmarked Funds Disclosure.
18526  Reimbursement of Expenditures.
18533  Contributions from Joint Checking Accounts.
18570  Return of Contributions with Insufficient Donor Information.
When and Where to File the Form 460

This chapter reviews when and where committees file the Recipient Committee Campaign Statement (Form 460). The Form 460 is the comprehensive report that discloses all receipts and expenditures of a committee. The Form 460 includes payments previously reported on forms such as the 24-Hour/10-Day Contribution Report (Form 497). All reports and statements filed under the Political Reform Act (Act) are public records available for public inspection.

Candidates and officeholders who do not have an open committee during a calendar year are not required to file the Form 460, but may be required to file the Officeholder/Candidate Campaign Statement—Short Form (Form 470). Review Chapter 1 for information about the Form 470, including when and where to file.

Primarily formed committees that have minimal activity in a reporting period may be eligible to use the Recipient Committee Campaign Statement—Short Form (Form 450) or the Semi-Annual Statement of No Activity (Form 425) instead of the Form 460. These forms are filed at the same time and locations as the Form 460.

A. General Information

Filing Schedules: The FPPC posts on its website filing schedules for specific election dates (e.g., June and November elections). In addition, county elections offices and city clerks often post filing schedules. Local candidates and committees should contact their local filing officer as some local jurisdictions may require filings in addition to what is required by the Act.

The committee treasurer is responsible for meeting all applicable filing deadlines. Filing officers are not required to send reminder notices about upcoming deadlines; however, they are required to notify committees that have missed a filing deadline.
**Deadlines:** Except where noted, statements filed on paper must be hand-delivered or postmarked by the due date. Deadlines that fall on a Saturday, Sunday, or official state holiday are extended to the next business day; however, this extension does not apply to the 24-Hour/10-Day Independent Expenditure Reports (Form 496) or to the 24-Hour/10-Day Contribution Reports (Form 497) required the weekend before an election. For example, if a committee receives a $1,000 contribution on the Saturday before the election, the deadline is not extended to the next business day. The committee must file a Form 497 within 24 hours. There are no other provisions for extending a deadline.

**Late Fines:** A late filing penalty of up to $10 per day may be assessed for each day the statement is late. The FPPC or a local filing officer cannot extend a filing deadline. A committee may request a waiver of late fines assessed by the local filing officer or the Secretary of State.

**Failure to File:** Filing officers must refer committees to the FPPC or another enforcement agency if a committee fails to file a campaign statement. Administrative penalties of up to $5,000 per violation may be assessed. (See Government Code Section 83116.) Committees fined by the FPPC Enforcement Division are listed on the FPPC website.

### B. When to File

**Semi-Annual Statements**

Most committees file a semi-annual statement for each half of the year, whether or not they receive contributions or make expenditures during the six-month period. An existing committee or a committee newly formed during the first six months of the year must file a semi-annual statement due on or before July 31 for the period covering January 1 through June 30.

Committees must also file a semi-annual statement due on or before January 31 of the following year for the period covering July 1 through December 31. The period covered for a committee newly formed during the last six months of the year will be January 1 through December 31.

**Ex 9.1** - A county supervisor has a controlled committee. The supervisor is not seeking reelection and the committee did not raise or spend any funds during the calendar year. The committee must file a semi-annual statement for the period covering January 1 through June 30, due on or before July 31, and a semi-annual statement for the period July 1 through December 31, due on or before January 31.

**Ex 9.2** - A primarily formed committee is formed in May to support a city council candidate in the November election. The committee must file a semi-annual statement for the period covering January 1 through June 30, due on or before July 31. In October, the committee must file the two required preelection statements (due dates and periods covered are listed on the filing schedule). The committee must continue to file semi-annual statements until it terminates.
Exception: Unpaid Elected Officeholders, Judges, and Judicial Candidates

Unpaid officeholders (defined in the Act as those who receive less than $200 per month for serving in office) and judges are not required to file semi-annual statements (i.e., Form 460 or Form 470) during any six-month period in which they have not received any contributions or made any expenditures.

To determine whether $200 has been received, only the elected official’s fixed compensation for services (i.e., salary) need be counted. Payments for health benefits, reimbursement of expenses (including travel expenses), or per diem received from the elected official’s agency are not counted.

Non-incumbent judicial candidates that will not be listed on a ballot and incumbent judges that will not be listed on a ballot who do not receive any contributions or make any expenditures in a six-month period are not required to file the Form 460 or Form 470.

Preelection Statements

In addition to semi-annual statements, candidate controlled committees and primarily formed committees must file two preelection statements before the election in which the candidate is listed on the ballot. For specific reporting periods and filing deadlines, refer to the filing schedules on the FPPC’s website or contact the local filing officer. The second preelection statement must be filed by personal delivery or guaranteed overnight delivery.

Exception: Candidates Not on a Ballot

A candidate who will not appear on the ballot because he or she is running unopposed is not required to file preelection statements. In addition, a candidate who withdraws from an election and will not be listed on the ballot is not required to file preelection statements.
Recall Elections – Quarterly Reports

A committee established by an officeholder who is the subject of a recall election must file campaign statements (Form 460) on a quarterly basis until the semi-annual period in which the recall election is held. The quarterly filing schedule is:

<table>
<thead>
<tr>
<th>Period Covered</th>
<th>Filing Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>January 1 - March 31</td>
<td>April 30</td>
</tr>
<tr>
<td>April 1 - June 30</td>
<td>July 31</td>
</tr>
<tr>
<td>July 1 - September 30</td>
<td>October 31</td>
</tr>
<tr>
<td>October 1 - December 31</td>
<td>January 31</td>
</tr>
</tbody>
</table>

During the semi-annual period in which the recall election is held, the committee must file two pre-election statements and a semi-annual statement on the schedule provided by the filing officer.

Amendments

Except for amendments required to provide missing contributor information (see Chapter 2), there is no specified deadline for filing amendments to campaign statements. However, amendments should be filed as soon as practicable in the same location(s) as the original.

Faxing and Emailing Statements

Campaign statements that contain 30 pages or less may be faxed or emailed (if the local filing officer will accept an emailed statement) provided that the transmitted copy of the campaign statement is the exact copy of the original version. The original statement (with an original signature) must be sent by first-class mail, guaranteed overnight delivery, or personal delivery within 24 hours of the filing deadline.

C. Where to File

Candidates, candidate controlled committees, and primarily formed committees file statements based on the office sought by the candidate. The following chart summarizes the locations where campaign statements (i.e., Forms 450, 460, 470) are generally filed.

Ex 9.3 - The local district attorney is the subject of a recall election being held in September. In March, he formed a separate committee to oppose the recall. The committee must file quarterly statements on April 30 and July 31. During the period covering July 1 through December 31, the committee must file two pre-election statements in connection with the election, and a semi-annual statement for the period ending December 31, due on or before January 31 of the following year. After the January 31 filing, the committee will file semi-annual statements until it terminates.
 Certain campaign activity may trigger reports that must be filed in another location (see Chapter 10.) An “original” campaign statement is one containing the original signature of the officeholder or candidate and/or the treasurer or assistant treasurer.

<table>
<thead>
<tr>
<th>Candidate/Officeholder/ Primarily Formed Committee</th>
<th>Where to File</th>
<th>What to File</th>
</tr>
</thead>
<tbody>
<tr>
<td>City Offices</td>
<td>City Clerk</td>
<td>Original and one copy</td>
</tr>
<tr>
<td>County Offices</td>
<td>County Elections Offices</td>
<td>Original and one copy</td>
</tr>
<tr>
<td>Multi-County Offices</td>
<td>County with the largest number of registered voters in the jurisdiction County of Domicile, if different</td>
<td>Original and one copy</td>
</tr>
<tr>
<td>Judges and Judicial Candidates</td>
<td>Electronic Filers Secretary of State</td>
<td>Electronically and one paper original</td>
</tr>
<tr>
<td></td>
<td>Non-Electronic Filers Secretary of State County of Domicile</td>
<td>Original and one copy</td>
</tr>
</tbody>
</table>

**Electronic Filing**

Judges and judicial candidates (including Superior Court judges and candidates) that have raised or spent $25,000 or more must file electronically with the Secretary of State. The Act does not require other local candidates and committees to file electronically with their local jurisdictions. Some local agencies may require that campaign statements be filed electronically pursuant to a local ordinance. In those jurisdictions, paper copies may not be required, but most committees must submit a paper copy with a “wet signature” to the filing officer.

**Multiple Controlled Committees in Same Jurisdiction**

In general, a candidate or elected officer may only control one committee and have one bank account per election under the Act’s one bank account rule. (See Chapter 1.) However, if a candidate or elected officer controls more than one committee in the same jurisdiction (i.e., different terms of the same elective office, officeholder
account, legal defense fund, or ballot measure committee), each of the committees must file preelection statements on the dates the candidate or elected officer is required to file in connection with his or her election. (See FPPC Regulation 18405.) This provides the voters with a complete summary of the contributions received and expenditures made by the candidate.

**Note:** A candidate’s election committee is not required to file based on the ballot measure committee schedule if he or she is not also being voted on in the election.

**Multiple Controlled Committees in Different Jurisdictions**

When an individual is simultaneously a candidate for elective state office and elective local office, or for elective office in two different local jurisdictions, he or she must file campaign statements for all committees he or she controls with both jurisdictions on the dates the candidate is required to file semi-annual and preelection statements. The original statement should be filed with the relevant jurisdiction and a copy with the other jurisdiction. If a local candidate or officeholder also controls a state committee that is required to file electronically, the local committee must file the Form 460 electronically with the Secretary of State each time the Form 460 is due for either committee.

**Ex 9.4** - A school board member has an open committee from the school board election. The school board member opens a committee to run for mayor in her city. As an incumbent school board member and a candidate for mayor, she must file campaign statements for both committees with both the county elections office and the city clerk. Preelection statements and semi-annual statements required to be filed in connection with the mayoral election are filed as follows:

- **Mayoral Committee**
  - City Clerk – Original and one copy
  - County Elections Office – One copy

- **School Board Committee**
  - County Elections Office – Original and one copy
  - City Clerk – One copy
Ex 9.5 - A city council member has an open committee from the city council election. The council member opens a committee to run for State Assembly. Semi-annual and pre-election statements required in connection with the State Assembly election are filed as follows:

- **Assembly Committee**
  - **Electronic Filers:** Secretary of State only – Electronically and one paper original
  - **Non-Electronic Filers:** Secretary of State – Original and one copy
    City Clerk – One copy

- **City Council Committee**
  - City Clerk – Original and one copy
  - Secretary of State – One copy (the copy must be filed electronically if the Assembly Committee is an electronic filer)

An officeholder who does not have a controlled committee may file the Form 470 by July 31 for the position held. If the officeholder subsequently opens a committee to run for a different office, he or she must file the Form 460 for the required pre-election and semi-annual statements. Since the Form 470 was filed in connection with a position for which the candidate does not have a committee, a Form 470 Supplement is not required. However, if the officeholder opens a committee prior to June 30 for election to a different office, the Form 460 must be filed by July 31 for both the position held and the office sought. The officeholder may file one Form 460 and list both the position held and the office sought on the Cover Page, Part 5.
Answering Your Questions

A. I am currently a city council member without a campaign committee. I intend to run for the board of supervisors in the November election and will open a committee in July for that race. When must I file the first Form 460?

As a city council member, you must file a semi-annual statement for the period January 1 through June 30 on or before July 31. Since you do not have an open city council committee, you may file the Form 470 instead of the Form 460. By the first preelection deadline for the county election, file the Form 460 with the county elections officer, as well as a copy with the city clerk.

B. In June, I was elected to the city council. After filing the semi-annual statement due on July 31, I paid off my remaining bills and terminated my committee in August by filing a terminating Form 410 and Form 460. I will not engage in any further campaign activities. Am I required to file another Form 460 by January 31 of the following year as a semi-annual statement?

As an elected officer, you must file semi-annual statements each year. You may designate the Form 460 you file in August as a terminating statement and a semi-annual statement, covering the period through December 31. However, if you subsequently receive any contributions or make any expenditures through December 31, file an amendment to your statement no later than January 31 of the following year. If you receive $200 or more in a calendar month for your elected position, you will be required to file the Form 470 by July 31 every year, even though you have terminated your committee.
Authority

The following Government Code sections and Title 2 regulations provide authority for the information in this chapter:

Government Code Sections

81004.5 Reports and Statements; Amendments.
81007 Mailing of Report or Statement.
81007.5 Faxing of Report or Statement.
81008 Public Records; Inspection; Reproduction; Time; Charges.
82027 Filing Officer.
83116 Violation of Title.
84200 Semi-Annual Statements.
84200.5 Preelection Statements.
84200.8 Time for Filing Preelection Statements for Elections Not Held in June or November of an Even-Numbered Year.
84206 Candidates Who Receive or Spend Less Than $2,000.
84215 Campaign Reports and Statements; Where to File.
84605 Who Shall File Online.
84615 Electronic Filing for Local Agencies.
91013 Late Filing of Statement or Report; Fees.

Title 2 Regulations

18110 Duties of Filing Officers – Campaign Statements.
18116 Reports and Statements; Filing Dates.
18405 Candidates with Multiple Controlled Committees.
18406 Short Form for Candidates or Officeholders Who Receive and Spend Less than $2,000 in a Calendar Year.
18426 Semi-Annual Statement Early Filing.
18531.5 Recall Elections.
Additional Reports

In addition to the forms associated with starting a campaign (Forms 501 and 410) and the main campaign disclosure form (Form 460), there are several other forms that may be required, depending on the committee’s activity. For example, most committees must file the 24-Hour/10-Day Contribution Report (Form 497).

Primarily formed committees making independent expenditures must file the independent expenditure reports discussed below. A candidate’s controlled committee for his or her election will likely not be filing independent expenditure reports because it is making direct campaign expenditures for the candidate’s election to office.

This chapter reviews the following special reports that may be required.

- 24-Hour/10-Day Contribution Reports (Form 497)
- 24-Hour/10-Day Independent Expenditure Reports (Form 496)
- Verification of Independent Expenditures (Form 462)
- Special Odd-Year Reports (Form 460)
- Paid Spokesperson Reports (Form 511)
- Reports of Communications Identifying State Candidates (Form E-530)
A. 24-Hour/10-Day Contribution Report (Form 497)

The 24-Hour/10-Day contribution report provides immediate reporting of contributions received or made near or on the election date. The Form 497 must be filed if a candidate controlled committee or a primarily formed committee:

- **Receives** contributions that total in the aggregate $1,000 or more from a single source during the 90 days before the candidate’s election, including the date of the election; or

- **Makes** contributions that total in the aggregate $1,000 or more to a candidate or a committee primarily formed to support a
candidate(s) or ballot measure(s) during the 90 days before the candidate’s or measure’s election, including the date of the election; or

- **Makes** contributions that total in the aggregate $1,000 or more to a state or county political party committee during the 90 days before any state election, including the date of the election.

- **Makes** contributions that total in the aggregate $5,000 or more to support or oppose the qualification of a single local initiative or referendum ballot measure.

This Form 497 is required to be filed within 10 business days in the place(s) where the committee would be required to file campaign statements as if it were formed or existing primarily to support or oppose the local initiative or referendum ballot measure.

Contributions reported on the Form 497 must also be reported on the committee’s next Form 460.

**Ex 10.1** - Thirty days before the candidate’s election, the candidate’s committee received a $500 contribution. Four days later, the same person contributed $600. The candidate’s committee must file a Form 497 since $1,000 or more was received from a single source during the 90-day period before the election. The same person must contribute another $1,000 or more in order for a subsequent Form 497 to be required.

**Ex 10.2** - In June, the candidate’s election committee for a November election received a contribution of $2,000. The Form 497 is not required because it was not received during the 90-day period before the November election. In October, the same person made a contribution of $600 to the candidate’s committee. The Form 497 is not required until that person contributes $1,000 or more in the 90 days before or on the date of the November election. Contributions received prior to the 90 days before the November election are not aggregated with contributions received during the 90-day period.

In some local elections, a candidate’s name will not appear on a ballot if no other individual runs for that office. Following the determination by the elections official that the candidate’s name will not appear on the ballot, the Form 497 is not required to be filed by the candidate even if the candidate’s committee receives $1,000 or more during the 90 days before the election, including the date of the election.
When and Where to File the Form 497

The Form 497 must be filed within 24 hours of receiving or making contributions as described above. A contribution is received on the date the candidate, committee, or an agent of the committee obtains possession or control of the check or nonmonetary item that constitutes a contribution. (See Chapter 2.) A contribution is made on the date it is mailed, delivered, or otherwise transmitted. A committee that makes a nonmonetary contribution must notify the recipient of the contribution’s value within 24 hours by personal delivery, fax, or guaranteed overnight delivery.

Exceptions:

• The Form 497 must be filed within 48 hours of receiving a nonmonetary contribution.

• The Form 497 must be filed within 10 business days when contributions that total $5,000 are made to support or oppose the qualification of a single local measure.

Filing deadlines are extended to the next business day when they fall on a Saturday, Sunday, or official state holiday. However, the extension does not apply on the Saturday, Sunday, or an official state holiday immediately prior to an election. For example, a fundraiser held on a Friday evening results in several individuals making contributions of $1,000 or more. Generally, the committee must file the Form 497 on the following Monday. However, if the fundraiser is held the Friday evening of the week before the election, the “next business day” deadline extension does not apply, so the Form 497 must be filed within 24 hours.

Except for the Form 497 triggered at $5,000, the Form 497 is filed in the same location the committee files its regular campaign statements (Form 460 or Form 450) and must be filed by fax, guaranteed overnight delivery service, or personal delivery. Regular mail may not be used. Some local agencies may have an electronic filing system or may accept the Form 497 via email.
Reporting Multiple Nonmonetary Contributions

If a committee anticipates that more than one nonmonetary contribution will be made to another committee or received from a single contributor during the 90 days before the election (including the date of the election), it may, on or before the deadline, file a single Form 497 covering the period in which the nonmonetary contributions will be made or received. The report must disclose the total value of nonmonetary contributions that will be made, or, if the actual value of nonmonetary contributions is not known at the time of filing, a good faith estimate of the value. If an estimated value differs from the reported amount by 20 percent or more, the committee must amend the Form 497 within 24 hours from the time the committee knows that the estimated value is incorrect.

### 497 Contribution Report

**Name of Filer:** Manuel Alvarez for Mayor 20XX  
**Area Code/Phone Number:** 707-555-6868  
**Street Address:** 225 Presley Street  
**City:** Oakmont  
**State:** CA  
**Zip Code:** 95443

**Contributions(s) Received**

<table>
<thead>
<tr>
<th>Date Received</th>
<th>Full Name, Street Address and Zip Code of Contributor</th>
<th>Contributor Code</th>
<th>Amount Received</th>
<th>If an individual; enter occupation and employer (If self-employed; enter name of business)</th>
</tr>
</thead>
<tbody>
<tr>
<td>10/30/XX</td>
<td>Loretta Stone 28 Hemlock Street Oakmont, CA 95434</td>
<td></td>
<td>$2,000</td>
<td>Nurse - Oakmont Hospital</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$2,000 Check if loan</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Provide interest rate</td>
</tr>
<tr>
<td>10/30/XX</td>
<td>ABC Company 220 R Street Oakmont, CA 95434</td>
<td></td>
<td>$3,000</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$3,000 Check if loan</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Provide interest rate</td>
</tr>
</tbody>
</table>

### Completing the Form 497

#### Filer Information

Provide the committee's full name, telephone number, street address, city, state, zip code, and committee ID number.
B **Date, Report Number, Number of Pages**

Indicate the date the report is being filed; assign a unique number to each Form 497, such as 1, 2, 3, PR-1, PR-2, PR-3, etc.; and, indicate the number of pages included in the report.

1 **Contributions Received**

For contributions received, provide:

- The date received.

- The contributor’s full name, street address, and zip code.

- The contributor code. For each itemized contributor, check the box indicating whether the contributor is an individual, a committee, “other” (such as a business entity), a political party, or a small contributor committee.

- If the contributor is an individual, his or her occupation and employer must be provided. If the individual is self-employed, the name of the business must be provided.

- The amount of the contribution. Check the box if it was a loan.

**Contributions Made**

For contributions made, provide:

- The date made.

- The recipient’s full name, street address, and zip code.

- The office sought or held (if the contribution is made to a candidate).

- The ballot measure number or letter and jurisdiction (if the contribution is made to a ballot measure committee).

- The amount of the contribution.

- The date of election.
Amending the Form 497

To amend a previously filed Form 497, file another Form 497 with the corrected or missing information, assign a new unique identifying number as the Report Number, check the “Amendment” box, and enter the identifying number of the report being amended. Describe the reason for the amendment in the space provided at the bottom of the form. There is no specified deadline for filing amendments; however, amendments should be filed as soon as practicable. Amendments are filed in the same location as the original.

Answering Your Form 497 Questions

A. Must a candidate file a Form 497 if, during the 90 days before the election, or on the date of the election, she loans her campaign committee $1,000?

Yes. A candidate’s personal funds that are loaned to or contributed to the committee trigger the Form 497 requirement.

B. Must a candidate file a Form 497 if, during the 90 days before the election (or on the date of the election), she transfers campaign funds totaling $1,000 or more from a campaign committee established for a prior office to the campaign committee established for the office she is currently seeking election to?

No. Transfers among a candidate’s own local campaign election committees are reported as miscellaneous increases to cash, not as contributions.
C. A committee will receive nonmonetary contributions from a single source during the 90 days before the election, including the date of the election. The contributions involve several days of telephone banking by paid individuals. Rather than filing several reports, may the committee file one Form 497 with an estimated value of the nonmonetary contributions anticipated to be received from this source during the 90 days before the election?

Yes. The committee may make a good faith estimate of the value that will be received during the period. The Form 497 must be filed within 48 hours of receiving the first $1,000 in nonmonetary contributions. If the actual value differs from the estimated amount by 20 percent or more, the estimated report must be amended within 24 hours of determining the correct amount.

D. Must a committee file a Form 497 when a contributor forgives a loan of $1,000 or more during the 90 days before the election, including the date of the election?

Yes. A loan forgiveness is reported as a contribution and triggers the Form 497 requirement.

E. A candidate has one open committee for a past election and one for the current election. If the committee for the past election receives $1,000 or more from a single source in the 90-day, 24-Hour/10-Day reporting period for the current committee, must the committee for the past election file a Form 497?

Yes. When a candidate is in a 90-day reporting period, contributions totaling $1,000 or more to any of the candidate's committees trigger the Form 497 requirement.
B. Independent Expenditure Reporting

As described in Chapter 6, a payment for a communication that expressly advocates support of or opposition to a candidate or ballot measure, which is not made at the behest of the candidate or measure committee, is an “independent expenditure.” Chapter 6 defines in detail “expressly advocates” and “made at the behest of” and provides examples to assist committees in determining whether a payment made for a communication is considered an independent expenditure.

The Act requires committees making independent expenditures to file several forms so that voters are fully informed about who is paying for the communications that urge voters to support or oppose a particular candidate or ballot measure. Because the affected candidate or measure committee will not report the expenditures, the committee making the independent expenditures must file certain forms at the same time the candidate is required to file. In addition, a verification form that identifies an individual who is responsible for ensuring that the campaign committee’s independent expenditures were not coordinated with the listed candidate or ballot measure (or the opponent) must be filed.

A committee that makes an independent expenditure of $1,000 or more must also file the forms listed below.

- Form 496 (24-Hour/10-Day Independent Expenditure Report)
- Form 462 (Verification of Independent Expenditures)

What is the Date an Independent Expenditure is Made?

A payment made in connection with the development, production, or dissemination of a communication that is an independent expenditure must be reported no later than the date the communication is mailed, broadcast, or otherwise disseminated to the public. If the communication is never disseminated to the public, it need not be reported.
Candidate Controlled Election Committees

Communications paid for by a candidate’s controlled committee to support his or her own election, or to oppose his or her opponent, are direct campaign expenditures, not contributions or independent expenditures.

If a candidate pays for a communication supporting his or her own candidacy that also supports or opposes a ballot measure, the payment is not considered a contribution or independent expenditure made in connection with the ballot measure.

If a candidate pays for a communication that supports another candidate, and the payment is not made at the behest of the endorsed candidate, the payment is not considered to be an independent expenditure if: (1) the candidate paying for the communication also is included in the communication; (2) the non-paying candidate is listed on the same ballot as the paying candidate; and (3) the communication is targeted only to the potential voters in the paying candidate’s district.

Primarily Formed Committees

A committee that is primarily formed to support or oppose a candidate is not associated with the candidate. Therefore, payments made for communications that expressly advocate support or opposition of the candidate are considered to be independent expenditures because they are not made at the behest of the candidate.

Filing Deadlines for Independent Expenditure Forms

This chart summarizes the deadlines and filing locations for each of the independent expenditure forms. Each of the forms is discussed in detail below.

<table>
<thead>
<tr>
<th>Deadline</th>
<th>Form</th>
<th>Filing Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within 24 hours</td>
<td>496</td>
<td>Filing officer where election is held</td>
</tr>
<tr>
<td>10 days after first independent expenditure</td>
<td>462</td>
<td>FPPC</td>
</tr>
</tbody>
</table>

Ex 10.4 - A committee is primarily formed to support a mayoral candidate. The committee must act totally independent of the mayoral candidate’s campaign. Seven days before the election, the committee paid $5,000 for an advertisement in a local newspaper urging voters to support the candidate. The primarily formed committee must file the Form 496.

Ex 10.5 - Ten days before an election, a committee spent $1,700 on a mailing that equally advocated support of two candidates. The mailing was done completely independent of the candidates. Since the value to each candidate was only $850 (less than $1,000), the committee is not required to file the Form 496 for either candidate.

Three days before the election, the committee independently spent $400 for lawn signs advocating support of one of the candidates included in the earlier mailing. Because the total spent on behalf of this candidate is now $1,000 or more in the 90 days before the election including the date of the election, the committee must file the Form 496 in connection with this candidate.
24-Hour/10-Day Independent Expenditure Report (Form 496)

The 24-Hour/10-Day Independent Expenditure Report provides immediate disclosure of independent expenditures made near or on the election date. The Form 496 must be filed if a committee makes independent expenditures totaling $1,000 or more to support or oppose a single candidate or a single ballot measure during the 90 days before the candidate’s or measure’s election, including the date of the election.

**Note:** The Sacramento Superior Court ruled in Charles R. “Chuck” Reed v. Fair Political Practices Commission that San Jose Mayor Reed was not subject to independent expenditure restrictions. For more information, contact the FPPC’s Legal Division.

Expenditures reported on the Form 496 must also be reported on the committee’s next regular campaign statement (Form 460). The Form 462 (Verification of Independent Expenditures) must also be filed.

**When and Where to File the Form 496**

The Form 496 must be filed **within 24 hours** of making an independent expenditure of $1,000 or more **during the 90 days** preceding the election, including the date of the election, in which the candidate or measure will be voted on. An independent expenditure is made when the communication is disseminated to the public. There is no deadline extension for filing the Form 496. It must be filed within 24 hours regardless of the day of the week. A separate Form 496 must be filed for each candidate or ballot measure supported or opposed.

The Form 496 is filed with the filing officer that receives the campaign statements for the candidate or measure supported or opposed. (See the chart below.) This allows voters in the affected jurisdiction to have access to reports disclosing who is spending funds attempting to influence them.

**Local Elections:** The Form 496 must be filed by fax, guaranteed overnight delivery, personal delivery, or email, if available. Regular mail may not be used. A local ordinance may require that the form be filed electronically. Contact the local filing officer to determine if electronic filing or email is available.
Location of Filing Form 496

State Elections: The Form 496 must be filed electronically with the Secretary of State’s office when it is filed in connection with a state candidate or measure. No paper copies are accepted. If the Form 496 is filed in connection with a CalPERS or CalSTRS election, a copy must also be filed with the relevant board’s office.

10-day Independent Expenditure Report (Form 496)

Additionally, a Form 496 is required to be filed within 10 business days when a committee makes independent expenditures that total in the aggregate $5,000 or more to support or oppose the qualification of a single local initiative or referendum ballot measure.

<table>
<thead>
<tr>
<th>Jurisdiction of Candidate or Measure Supported/ Opposed</th>
<th>Secretary of State – Electronically only</th>
</tr>
</thead>
<tbody>
<tr>
<td>Statewide</td>
<td>Secretary of State – Electronically only</td>
</tr>
<tr>
<td>Senate or Assembly District</td>
<td>Secretary of State – Electronically only</td>
</tr>
</tbody>
</table>

Ex 10.6 - A city councilmember’s election committee made an independent expenditure of $8,000 to support a county ballot measure. The Form 496 must be filed with the county elections office.

Ex 10.7 - A county supervisor’s election committee made an independent expenditure of $10,000 to support a state ballot measure. The Form 496 must be filed electronically with the Secretary of State’s office.
**496 Independent Expenditure Report**

**NAME OF FILER**
Friends Supporting Alvarez for Mayor 20XX

**ADDRESS** 707-111-2222
12399XX
10 Main Street
Oakmont CA 95443

**Date of This Filing** 11/1/20XX

**Report No.** 2

**No. of Pages**

---

**List Only One Candidate or Ballot Measure**

**NAME OF CANDIDATE SUPPORTED OR OPPOSED**
Manuel Alvarez

**OFFICE SOUGHT OR HELD** Mayor

**DISTRICT NO.**

**NAME OF BALLOT MEASURE SUPPORTED OR OPPOSED**

**BALLOT NO./LETTER**

**JURISDICTION**

**SUPPORT**

**OPPOSE**

---

**Independent Expenditures Made**
Attach additional information on appropriately labeled continuation sheets.

<table>
<thead>
<tr>
<th>DATE</th>
<th>DESCRIPTION OF EXPENDITURE</th>
<th>AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>10/31/20XX</td>
<td>Newspaper Advertisement</td>
<td>$2,000</td>
</tr>
</tbody>
</table>

---

**Contributions of $100 or More Received**

<table>
<thead>
<tr>
<th>DATE RECEIVED</th>
<th>FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR</th>
<th>CONTRIBUTOR CODE</th>
<th>IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER</th>
<th>AMOUNT RECEIVED</th>
<th>INTEREST RATES</th>
</tr>
</thead>
<tbody>
<tr>
<td>10/28/20XX</td>
<td>Joe Brown 1800 Second Street Oakmont, CA 95443</td>
<td>IND</td>
<td>Retired</td>
<td>$200</td>
<td>If loan, enter interest rate, if any</td>
</tr>
</tbody>
</table>
Completing the Form 496

A  Filer Information

Provide the committee’s name, street address, city, state, zip code, telephone number, and committee ID number.

B  Date, Report Number, Number of Pages

Indicate the date the report is being filed; assign a unique number to each Form 496, such as 1, 2, 3, PR-1, PR-2, PR-3, etc.; and, indicate the number of pages included in the report.

1  Name of Candidate or Ballot Measure Supported or Opposed

Provide the name of the candidate supported or opposed and the office sought or held (and district, if applicable). Or, provide the name of the ballot measure supported or opposed, the jurisdiction in which the measure is being voted upon, and its number or letter if it has been assigned. Indicate whether the independent expenditure supported or opposed the candidate or ballot measure.

2  Independent Expenditures Made

Provide the date the committee made the independent expenditure. In the “Description of Expenditure” field, include a description of the independent expenditure (e.g., radio advertisement, billboard, mailing) and the cumulative-to-date total for independent expenditures relating to each candidate or measure. List the amount of the specific expenditure in the “Amount” column.

3  Contributions of $100 or More Received

Disclose contributions of $100 or more received since the closing date of the last campaign statement filed through the date of the independent expenditure. If no previous campaign statement has been filed, disclose contributions of $100 or more received since January 1 of the current calendar year.

Disclose the name and street address of the contributor and, if the contributor is an individual, his or her occupation and the name of his
or her employer. If the individual is self-employed, disclose the name of the business. Also disclose the date and amount of the contribution, the contributor code, and type of contribution. If the contribution is a loan, enter the interest rate. Once you have disclosed a contribution on the Form 496, it is not necessary to report that contribution on any additional Form 496 filings; however, it must be reported on the committee’s next regular campaign statement (Form 460 or Form 450).

Amending the Form 496

To amend a previously filed Form 496, file another Form 496 with the corrected or missing information, assign a new unique identifying number as the Report Number, check the “Amendment” box, and enter the identifying number of the report being amended. Describe the reason for the amendment in the space provided at the bottom of the form. There is no specified deadline for filing amendments; however, amendments should be filed as soon as practicable. Amendments are filed in the same location as the original.

Verification of Independent Expenditures (Form 462)

The Form 462 must be filed if the committee makes an independent expenditure of $1,000 or more in a calendar year to support or oppose a single candidate or a single ballot measure. The purpose of the Form 462 is for officers of the committee making the independent expenditure to verify that the committee’s expenditures are indeed independent and have not been coordinated with the affected candidate or ballot measure committee (or the opponent). The form also verifies that the committee has not received any unreported contributions or reimbursements to make the independent expenditures.

Ex 10.8 - A committee primarily formed to oppose a candidate made independent expenditures of $20,000 to oppose the candidate in the primary election. A Form 462 is required for the primary election. If the committee makes independent expenditures of $1,000 or more to oppose the candidate in the general election, another Form 462 must be filed.

Ex 10.9 - A committee primarily formed to support a candidate on a November ballot made its first independent expenditure of $1,000 or more in September and filed the Form 462 listing the candidate. In October, the committee made several more independent expenditures to support the candidate. No additional Form 462s are required for that candidate for the November election.
Form 462
Verification of Independent Expenditures

This verification form identifies the individual responsible for ensuring that a campaign committee's independent expenditures were not coordinated with the listed candidate (or the opponent) or measure committee and that the committee will report all contributions and reimbursements as required by law. An independent expenditure is not subject to state or local contribution limits.

1. **Name of Committee:**

<table>
<thead>
<tr>
<th>NAME OF RECIPIENT COMMITTEE, ENTITY OR INDIVIDUAL</th>
<th>COMMITTEE ID #</th>
</tr>
</thead>
<tbody>
<tr>
<td>Friends Supporting Alvarez for Mayor 20XX</td>
<td>12399XX</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>STREET ADDRESS</th>
<th>CITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>10 Main Street</td>
<td>Oakmont</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>STATE</th>
<th>ZIP CODE</th>
<th>E-MAIL</th>
<th>TELEPHONE NUMBER</th>
</tr>
</thead>
<tbody>
<tr>
<td>CA</td>
<td>95443</td>
<td><a href="mailto:kluuci@hotmail.com">kluuci@hotmail.com</a></td>
<td>( 707 ) 111-2222</td>
</tr>
</tbody>
</table>

2. **Candidate or Measures:**

This committee has reported an independent expenditure(s) to support or oppose the candidate(s) or measure(s) listed on a ballot for the election date identified below. (Note: The reporting of an independent expenditure may occur after this form is filed if an independent expenditure is made before the 90 day, 24-hour reporting period of Government Code Sections 84204 and 85500.)

<table>
<thead>
<tr>
<th>NAME OF CANDIDATE (First/Last) OR BALLOT MEASURE</th>
<th>SUPPORT</th>
<th>OPPOSE</th>
<th>OFFICE SOUGHT OR HELD/ BALLOT NO./LETTER</th>
<th>JURISDICTION AND DISTRICT, IF ANY</th>
<th>ELECTION DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manuel Alvarez Mayor</td>
<td>☑️</td>
<td></td>
<td></td>
<td>Oakmont</td>
<td>11/4/20XX</td>
</tr>
</tbody>
</table>

3. **Verification:**

I have not received any unreported contributions or reimbursements to make these independent expenditures. I have not coordinated any expenditure made during this reporting period with the candidate or the opponent of the candidate who is the subject of the expenditure, with the proponent or the opponent of the state measure that is the subject of the expenditure, or with the agents of the candidate or the opponent of the candidate or the state measure proponent or opponent. I certify under penalty of perjury under the laws of the State of California that the following is true and correct.

[Signature Required] [Date Required]

[Check One]: ☑️ Principal Officer ☐ Candidate/Officeholder ☐ State Ballot Measure Proponent

When and Where to File the Form 462

The Form 462 must be filed within 10 days from the date of the committee’s first independent expenditure of $1,000 or more to support or oppose a candidate or measure in a calendar year. An independent expenditure is made when the communication is disseminated to the public. A candidate or measure is listed only once for each election. Primary, general, and runoff elections are considered separate elections.

The Form 462 must be filed via email with the FPPC (form462@fppc.ca.gov). The originally signed form must be maintained with the committee’s campaign records for four years.
Completing the Form 462

1 Name of Committee

Enter the name and street address of the committee that is making the independent expenditure(s). The address should be the same as the address listed on the committee’s Statement of Organization (Form 410). Provide the committee’s assigned committee ID number.

2 Candidates or Measures

List the name of the candidate(s) or ballot measure(s) and mark the applicable support or oppose box. For candidates, list the office sought or held. The candidate’s or measure’s jurisdiction (and district if applicable) and the date of the election must also be listed.

3 Verification

The form must be reviewed and signed by the committee’s principal officer. A principal officer is an individual primarily responsible for approving the political activity of the committee. (See Chapter 1.) If the committee has more than one principal officer, only one individual must sign the Form 462. The individual must be listed on the committee’s Statement of Organization (Form 410). The same individual is not required to sign each Form 462. In the case of a controlled committee, the candidate or officeholder must sign the form.

Amending the Form 462

To amend a previously filed Form 462, file another Form 462 with the corrected or missing information, check the “Amendment” box, and describe the reason for the amendment in the space provided. Amendments to the Form 462 must be filed within 10 days of the change. Like the original, the amendment must be signed and dated and filed via email with the FPPC (form462@fppc.ca.gov).
Answering Your Independent Expenditure Questions

A. How frequently must the Form 462 be filed?

The Form 462 is required to identify the candidate or measure supported or opposed only once for each election. Once a candidate or measure is listed on the Form 462, no further filings are required for that candidate or measure for that election. If a committee makes independent expenditures related to a candidate in the primary election and later makes independent expenditures related to the same candidate in the runoff election, two Form 462s must be filed as they are separate elections.

B. Is an independent expenditure reportable by the committee for the candidate or the ballot measure named in the communication?

No. Because the communication is not made at the behest of the candidate or ballot measure committee, the expenditure for the communication is not reported by the affected candidate or measure committee. The person making the independent expenditure has the reporting obligations.

C. Is a candidate’s controlled committee making an independent expenditure when it pays for a communication that supports the controlling candidate and supports or opposes a ballot measure listed on the same ballot?

No. This type of expenditure considered to be a direct campaign expenditure to promote one’s own election.

D. May a committee pro-rate the value of a communication that contains both an independent expenditure and a non-political message?

Yes. The committee should value the independent expenditure as the portion of the costs directly associated with sending the message that expressly advocates support or opposition of a candidate or ballot measure.
C. Special Odd-Year Report (Form 460 or 450)

The odd-year report is designed to timely show if a committee is making large contributions to a number of state legislators or elected state officers during an off-election year when important issues such as the state budget or controversial legislation is being considered. The odd-year report must be filed, if during any odd-numbered year, the committee makes contributions totaling $10,000 or more to elected state officers, their controlled committees, or committees primarily formed to support or oppose any elected state officer during the first and third quarters of the year.

The special odd-year report is completed in the same manner as a regular pre-election or semi-annual statement (see Chapter 8) and includes all of the committee’s activity during the reporting period, not just contributions to elected state officers.

When and Where to File the Special Odd-Year Report

The special odd-year report is filed where the committee files its regular campaign statements and is filed on the committee’s regular campaign disclosure statement (Form 460 or Form 450).

<table>
<thead>
<tr>
<th>Period Covered</th>
<th>Filing Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>January 1 through March 31</td>
<td>April 30</td>
</tr>
<tr>
<td>July 1 through September 30</td>
<td>October 31</td>
</tr>
</tbody>
</table>

D. Advertisement Reports

Paid Spokesperson Report (Form 511)

Promoting “truth in advertising,” the Act requires that when a teacher, firefighter, doctor, or other person is in a ballot measure advertisement giving their expert views for or against the measure, the advertisement must disclose if the person has been paid. The Form 511 must be filed if a committee pays an individual for his or her appearance in a ballot measure advertisement in the following situations:

Ex 10.13 - Between July 1 and September 30 of an odd-numbered year, a local candidate’s election committee contributes $6,000 to the Governor’s ballot measure committee and $6,000 to the Secretary of State’s election committee. The local committee must file a special odd-year report covering the period July 1 through September 30, by October 31.

Ex 10.14 - In support of a local ballot measure, a committee hires a public relations firm to produce a television advertisement. A local celebrity is paid $5,000 or more to appear in the ad. The committee must include the ad disclosure described in Chapter 7 and must file the Form 511.
Payments of $5,000 or More: The committee makes expenditures totaling $5,000 or more to an individual for his or her appearance in an advertisement to support or oppose the qualification, passage, or defeat of a state or local ballot measure.

Payments of Any Amount: The committee makes expenditures of any amount to an individual for his or her appearance in an advertisement to support or oppose the qualification, passage, or defeat of a state or local ballot measure and the advertisement states or suggests that the individual is a member of an occupation that requires licensure or certification or other specialized documented training as a prerequisite to engage in that occupation (nurse, doctor, firefighter, scientist, engineer, lawyer, etc.).

Committees that pay a spokesperson to appear in a ballot measure advertisement may be required to include specific disclosures on the advertisements. (See Chapter 7.)

When and Where to File the Form 511

The Form 511 must be filed within 10 days of making an expenditure identified above. An expenditure is made on the date the payment is made or the date the services are received, whichever is earlier. The Form 511 is filed in the same location the committee files its regular campaign statements (Form 460 or Form 450). Instructions for completing the Form 511 are provided on the FPPC’s website.

Communications Identifying State Candidates (Form E-530)

The Act requires reporting of electioneering communications for state candidates, such as billboards on Interstate 5 saying “Thank you Senator Kim for your support of Central Valley Agriculture” placed right before the election. The Form E-530 must be filed if a committee makes a payment or a promise of a payment totaling $50,000 or more for a communication disseminated within 45 days of an election that clearly identifies a candidate for elective state office, but does not expressly advocate the election or defeat of the candidate.
The report must disclose the amount and date of the payment(s), and the name of and office sought by the candidate(s) identified in the communication. In addition, if $5,000 or more was received or promised from a single source to pay for the communication, the report must include the name and address of the contributor, as well as the date and amount received or promised. If the contributor is an individual, the individual’s occupation and employer must also be included.

The report must be verified by a written “electronic filing declaration” signed, dated, and verified on the same date the report is transmitted to the Secretary of State. This declaration must be retained in the committee’s records for five years following the date that the campaign report to which it relates is filed. The statement must include the following language:

“I have used all reasonable diligence in preparing this report 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.”

**When and Where to File the Form E-530**

The Form E-530 must be filed electronically with the Secretary of State **within 48 hours** of making or promising to make a payment of $50,000 or more. There is no paper version of the Form E-530. To access the online form, go to the Secretary of State’s website (www.sos.ca.gov). If the committee has not previously filed electronically with the Secretary of State, the committee will need to request a filer ID and password. The request form (Electronic Filing Password Request) is located on the Secretary of State’s website under Campaign Finance.
The following Government Code sections and Title 2 regulations provide authority for the information in this chapter:

**Government Code Sections**

81004.5 Reports and Statements; Amendments.
82025 Expenditure.
82031 Independent Expenditure.
82036 Late Contribution.
82036.5 Late Independent Expenditure.
82044 Payment.
84200.6 Special Campaign Statements and Reports.
84202.7 Time for Filing by Committees of Odd-Numbered Year Reports.
84203 Late Contribution; Reports.
84203.3 Late In-Kind Contributions.
84204 Late Independent Expenditures; Reports.
84204.5 Ballot Measure Contributions and Expenditures; Reports.
84213 Verification.
84511 Ballot Measure Ads; Paid Spokesperson Disclosure.
85310 Communications Identifying State Candidates.
85501 Prohibition on Independent Expenditures by Candidate Controlled Committees.

**Title 2 Regulations**

18116 Reports and Statements; Filing Dates.
18421.1 Disclosure of the Making and Receipt of Contributions.
18425 24-Hour Contribution Reports.
18428 Reporting of Contributions and Independent Expenditures Required to be Aggregated.
18450.11 Spokesperson Disclosure.
18465.1 Verification of Online Filers.
18531.10 Communications Identifying State Candidates.
18539.2 Reporting Payments Pursuant to Government Code Section 85310.
18550 24-Hour Independent Expenditure Reports.
Filing Obligations After the Election and Terminating the Committee

After the election, a candidate’s future filing obligations are determined by whether he or she was elected to office or not. Generally, a committee primarily formed to support or oppose a candidate will terminate after the election. The Political Reform Act (Act) does not require any local candidate or primarily formed committee to terminate; however, campaign statements must continue to be filed as long as the committee remains open. In addition, the $50 annual fee must be paid to the Secretary of State.

This chapter addresses the reporting requirements for successful candidates, defeated candidates, primarily formed committees, and the guidelines for terminating a campaign committee.

A. Successful Candidates

The requirements discussed below apply to candidates/officeholders immediately following the election and for subsequent non-election years. An officeholder retains his or her status as a “candidate” under the Act and must continue to file campaign reports – either the full Form 460 or the short Form 470 – until they have left elective office and terminated their committee. See “Candidates Using Campaign Funds for a Future Election” below to determine the requirements for a candidate/officeholder running for reelection or running for election to a different office.

Officeholders Who Filed Form 470 During Campaign

After the election, a candidate who filed the Form 470 (Officeholder and Candidate Campaign Statement – Short Form) in connection with the election has no additional filing obligations that calendar year provided $2,000 or more is not raised or spent during that calendar year. So long as a candidate/officeholder does not have an open committee, a Form 470 must be filed by July 31 of each subsequent non-election year.
Officeholders Who Filed Form 460 During Campaign

After the election, a successful candidate who filed the Form 460 (Recipient Committee Campaign Statement) in connection with the election must continue to file the Form 460 semi-annually as long as the committee remains open. In addition, other special reports may be required. The candidate/officeholder has the option of maintaining his or her committee and campaign bank account or terminating the campaign committee and closing the bank account. An officeholder who maintains a committee may:

- Continue to receive contributions;

- Use campaign funds to offset officeholder expenses; or

- Use funds for a future election. (See “Candidates Using Campaign Funds for a Future Election” below.)

Once an officeholder terminates the committee, he or she may be required to file the Form 470 the following year. However, if a candidate/officeholder has an open committee at any time during a calendar year, the Form 470 (short form) may not be filed instead of the Form 460.

Exception: Judges and Unpaid Officeholders

Unpaid officeholders (defined in the Act as those who receive less than $200 per month for serving in office) and judges are not required to file Form 460 or Form 470 for any semi-annual period in which they are not listed on a ballot and do not receive any contributions or make any expenditures. This exception applies even if a judge or unpaid officeholder has a controlled committee so long as the committee has not received any contributions or made any expenditures (excluding bank fees and interest).

To determine whether $200 has been received, only the elected officeholder’s fixed compensation (i.e., salary) is counted. Payments for health benefits, reimbursement for expenses (including travel expenses), or per diem received from the officeholder’s agency need not be counted toward the $200.
Judges and unpaid officeholders who are listed on a ballot must file the Form 470.

**Behested Payment Reports (Form 803)**

An elected officer who fundraises for worthy causes in his or her community (such as for a local school, to build a new community center or restore a historic building) may have to file a “behested payments” report. Behested payments are donations made to a charity or a government agency at the request of an elected officer for a legislative, governmental or charitable purpose. These payments are not made for personal purposes (i.e., gifts) or campaign purposes (i.e., contributions).

A common example is when an elected officer co-sponsors a charitable, governmental, or legislative event, such as a job fair or a conference on public policy issues, with outside sources. Payments made by outside sources in connection with these events generally are considered behested payments.

**Form 803 Filing Procedures:**

- File the Form 803 when a person donates $5,000 or more in a calendar year to charitable organizations or events at the request of an elected officer.

- Once a source has made a behested payment(s) of $5,000 or more during the calendar year, subsequent payments of any amount from that source during the calendar year must be reported.

- File the Form 803 with the elected officer’s agency within 30 days following the date of the payment.

- The elected officer’s agency must forward the Form 803 to the filing officer who receives the elected officer’s campaign statements within 30 days of receiving the form. The Form 803 is a public record. See the Form 803 example below.

**Quick Tip**

Although behested payments are not considered gifts or contributions to the elected official, meals, lodging, and travel payments received by an official in connection with a co-sponsored event may be reportable gifts.

**Ex 11.1** - At the mayor’s request, a catering company donated refreshments valued at $5,000 for a city sponsored job fair. The mayor must file a Form 803 with the city clerk to report the behested payment.
Form 803 Exceptions:

- A Form 803 is not required of a non-elected officer.

- A payment is not subject to behested payment reporting if the payment is made in response to a fundraising solicitation from a charitable organization requesting a payment where the solicitation does not “feature an elected officer," even if the solicitation includes an elected officer’s name. A solicitation “features an elected officer” when it includes the officer’s photograph or signature, or singles out the elected officer. An elected officer is also “featured” in a solicitation if the roster or letterhead listing the governing body contains a majority of elected officers. See Regulation 18215.3 for additional information.

- A payment is not subject to behested payment reporting if the elected officer makes a request for a payment from a local, state, or federal government agency.
# Behested Payment Report

## 1. Elected Officer or CPUC Member

<table>
<thead>
<tr>
<th>Last name, First name</th>
<th>(Last name, First name)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alvarez Manuel</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Agency Name</th>
<th>City of Oakmont</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Agency Street Address</th>
<th>225 Presley Street, Oakmont, CA 95443</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Designated Contact Person</th>
<th>(Name and title, if different)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Madeline Richards</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Area Code/Phone Number</th>
<th>E-mail (Optional)</th>
<th>Date Stamp</th>
</tr>
</thead>
<tbody>
<tr>
<td>707-555-6868</td>
<td><a href="mailto:mrichards@oakmontmail.com">mrichards@oakmontmail.com</a></td>
<td></td>
</tr>
</tbody>
</table>

## 2. Payor Information

**Wildwood Insurance Company**

<table>
<thead>
<tr>
<th>Name</th>
<th>1022 Main Street</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Oakmont</td>
</tr>
<tr>
<td></td>
<td>CA</td>
</tr>
<tr>
<td></td>
<td>95443</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Address</th>
<th>City</th>
<th>State</th>
<th>Zip Code</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## 3. Payee Information

**Boys and Girls Club of California**

<table>
<thead>
<tr>
<th>Name</th>
<th>555 10th Street</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Sacramento</td>
</tr>
<tr>
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</table>

<table>
<thead>
<tr>
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<th>Zip Code</th>
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</tbody>
</table>

## 4. Payment Information

- **Date of Payment:** 6/24/XX (month, day, year)
- **Amount of Payment:** (In-Kind FMV) $ 5,000 (Round to whole dollars.)
- **Payment Type:** ☑ Monetary Donation  or  ☑ In-Kind Goods or Services (Provide description below.)

**Brief Description of In-Kind Payment:**

**Purpose:** (Check one and provide description below.)  ☑ Legislative  ☑ Governmental  ☑ Charitable

**Describe the legislative, governmental, charitable purpose, or event:** Charitable fundraiser to support the Boys and Girls Club.

## 5. Amendment Description and/or Comments

- 

## 6. Verification

I certify, under penalty of perjury under the laws of the State of California, that to the best of my knowledge, the information contained herein is true and complete.

<table>
<thead>
<tr>
<th>Executed on</th>
<th>6/30/XX</th>
<th>By</th>
<th>[Signature Required]</th>
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<tr>
<td>DATE</td>
<td></td>
<td>SIGNATURE OF ELECTED OFFICER OR CPUC MEMBER</td>
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</table>
Legal Defense Committees

The Act permits a local candidate or elected officer to establish a legal defense fund, if the candidate or officer is subject to civil, criminal or administrative proceedings arising directly out of the conduct of an election campaign, the electoral process, or the performance of the officer’s governmental duties. Contributions raised for legal defense must be held in a separate account, they may be subject to contribution limits if provided by local ordinance, and they must be fully reported. Any funds raised may only be spent to defray attorneys fees and other related legal costs, as defined in the Act. (See Regulation 18530.45 for additional information.)

Recall Elections

Under state law, an officeholder who is the subject of a recall may use an existing committee (set up for the office he or she currently holds) to receive contributions and make expenditures to oppose the qualification of the recall measure, and if the recall petition qualifies, the recall election.

An alternative option is to form a separate recall committee. A recall committee may be established once the officeholder receives a notice of intent to recall under Elections Code Section 11201. The committee must set up a separate bank account at a financial institution in California, file a Statement of Organization (Form 410), and, in addition to the officeholder’s name, must include the word “recall” in the name of the committee. See Campaign Disclosure Manual 3 as a recall committee is considered a ballot measure committee. (FPPC Regulation 18531.5 contains specific guidance on recall elections.)

B. Defeated Candidates

Form 470 Filers

Following the election, a defeated candidate who filed the Form 470 (Officeholder and Candidate Campaign Statement – Short Form) has no further reporting obligations so long as less than $2,000 was raised or spent during the calendar year.
Form 460 Filers

Following the election, a defeated candidate must continue to file the Form 460 on a semi-annual basis and pay the annual committee fee as long as the committee remains open. In addition, other special reports may be required.

There is no deadline for terminating the committee or disposing of leftover funds; however, if there are leftover funds and the candidate wants to use the funds for a future election, the funds must be redesignated or transferred as discussed below.

C. Candidates Using Leftover Campaign Funds for a Future Election

A local candidate or officeholder may use leftover campaign funds for a future election so long as the funds are not considered “surplus funds” and the requirements below are met. Campaign funds become surplus on the 90th day after the closing date for the postelection reporting period or upon the 90th day after the date of leaving office, whichever occurs last. Surplus campaign funds are subject to restrictions, as described in Chapter 5, and may not be used for a future election.

Running for the Same Office

To use money remaining in the campaign bank account for a future election to the same office before the funds become surplus, a local candidate may redesignate his or her committee and campaign bank account by:

- Filing a new Form 501 (Candidate Intention Statement) for the specific future election; and,

- Filing an amended Form 410 (Statement of Organization) to reflect the redesignation for the future election.

Running for a Different Office

To use money remaining in the campaign bank account for a future election to a different office before the funds become surplus, a local candidate must:

Ex 11.2 - John Davis lost the city council election in November. John has $3,500 remaining in his campaign bank account and is considering seeking another city council position in two years. In order to use the remaining $3,500 for the future election, John must file a new Form 501 (Candidate Intention Statement) and redesignate the bank account to a future election by amending his Form 410 (Statement of Organization) to indicate the new office sought and year of election. This must be done within 90 days after the end of the postelection reporting period for the November election.

Candidates should also check with the city or county to determine if there are local restrictions for redesignating or transferring campaign funds.
• File a **new Form 501 (Candidate Intention Statement)** for the specific future election;

• File a **new Form 410 (Statement of Organization)**; and,

• Open a **new bank account**. So long as the funds are not surplus and there are no local restrictions, the campaign funds from the other account may be transferred to the new bank account.

### D. Primarily Formed Committees

Generally, a committee established primarily to support or oppose a particular candidate(s) will terminate after the election, but the committee may remain open to:

• Raise funds to pay debts.

• Support or oppose other candidates or measures. The committee will need to amend its Statement of Organization (Form 410) to reflect the change.

A primarily formed committee must continue to file semi-annual campaign statements (i.e., Form 460 or Form 450) and pay the annual committee fee as long as the committee remains open.

### E. Terminating the Committee

There is no deadline for terminating a committee controlled by a local candidate or officeholder unless the controlling candidate/officeholder becomes a state officeholder. In that case, the candidate should refer to Campaign Disclosure Manual 1 for State Candidates for the termination requirements.

A primarily formed committee also does not have a deadline to terminate. However, the committee, by its nature, may need to change its committee status if it remains open after the election. A committee that remains open must continue to file semi-annual campaign statements (i.e., Form 460 or Form 450) and pay the annual

**Ex 11.3** - Jayna Chacon is a city council member who plans to run for county supervisor in the next election. She would like to use the remaining funds in her city council committee bank account for the county election. Jayna must file a new Form 501 before she solicits or receives contributions for the county supervisor election. She must also file a new Form 410 and open a new bank account. The city council committee campaign funds must be transferred to the county supervisor campaign bank account within 90 days after the date Jayna leaves the city council position.

**Ex 11.4** - After the election, the committee primarily formed to support candidate Jones decides to support candidate Lopez in the next election. In order to do so, the committee must file an amended Form 410 (Statement of Organization) and will continue to file campaign statements.
fee, as described in Chapter 1, until it terminates. There are specific requirements that must be met in order for a committee to terminate.

A committee may terminate only if the committee:

- Has ceased receiving contributions or making expenditures and does not anticipate receiving contributions or making expenditures in the future;

- Has no remaining campaign funds;

- Has filed all required campaign statements, disclosing all reportable transactions, including the disposition of leftover funds; and

- Has eliminated all debts, or has no intention or ability to discharge debts.

A committee must file a Form 410 and a final Form 460 or Form 450. On the Form 410, the “Termination” box must be checked. List the committee’s identification number and the date of termination; the date of termination generally is the date all funds have been expended. Complete Section 1 and the treasurer or assistant treasurer must sign the verification. For candidate controlled committees, the controlling officeholder(s)/candidate(s) also must sign the verification.

Form 450 or 460 also must be filed showing that all funds have been expended and the committee has no cash on hand. Check the “Termination” box on the cover page.

File the original Form 410 with the Secretary of State and a copy with the committee’s local filing officer who receives the committee’s original campaign statements. File the Form 450 or 460 in the committee’s regular filing locations.

Ex 11.5 - At the end of November, after winning her election, Arlene decides to terminate her committee. To do so, she must file a Form 410 termination and a Form 460 termination showing that the committee has no remaining cash. On the Form 460 Cover Page, Type of Statement section, she will mark both the termination and semi-annual boxes and enter December 31 as the closing date of the statement. Unless there is additional activity, Arlene is not required to file a semi-annual statement on January 31, and may file Form 470 by July 31 of the next year.
F. Receiving a Refund After the Committee Has Terminated

Generally, once a committee has terminated, no transactions may be made by the committee. However, a candidate controlled committee that has terminated may accept a refund from a governmental entity (such as an overpayment of filing fees) without reopening. A committee may also accept a refund from a vendor or other person without reopening if the committee did not know of its entitlement to the refund prior to termination and the refund or refunds total no more than $10,000.

To report this type of refund, the terminated committee must file a Form 460 for the period in which the refund was received and report the refund as a miscellaneous increase to cash on Schedule I of the Form 460 and as an expenditure on Schedule E when the funds are spent. See Chapter 5 for the permissible uses of campaign funds. For the rules related to transferring the refund to another committee, see Regulation 18404.1.

Ex 11.6 - A candidate was defeated in a November election and closed her campaign committee in December. In February of the following year, she received a $1,500 refund from the county elections office for an overpayment of her filing fees. The candidate must disclose receipt of the refund on Schedule I of the Form 460. The refund must be used for a permissible expenditure as described in Chapter 5, such as to pay outstanding debts or to make a donation to a charity, and disclosed on Schedule E. If the candidate used personal funds to pay the filing fee, she may keep the refund without disclosing it on the Form 460.
Answering Your Questions

A. Must I file the Form 470 even if I waive my $200 per month salary as a school board member?

Yes. The exception for unpaid officeholders (less than $200 per month) does not apply when an officeholder waives his or her salary.

B. May I terminate my committee even if I have outstanding debt?

Yes. When you file your termination statement showing outstanding debt, you are declaring that you do not have the ability to discharge debts, loans, or other obligations. However, if you plan to raise additional funds, or pay the outstanding debt with personal funds, you may not terminate.

C. After terminating my committee, I received a refund from the city clerk for an overpayment of my filing fees. How do I report this?

If you used campaign funds to pay for the filing fees, you must file a Form 460 to report the refund as a miscellaneous increase to cash (on Schedule I). You must also report the expenditure of the funds on Schedule E. See Chapter 5 for the permissible uses of campaign funds.

If you used personal funds to pay for the filing fees, you may keep the refund and you are not required to report it on a campaign statement.
D. A nonprofit group paid for a survey they conducted and published. The group is claiming that my committee owes them for part of the costs of the survey, but my position is that, since they conducted the survey without my authorization, my committee does not owe them for the survey. The group has indicated that it may seek a small claims court judgment. I would like to close my committee, but should the committee remain open until the issue is resolved?

One of the requirements that must be met in order for a committee to terminate is for the treasurer to state, under penalty of perjury, that the committee has eliminated all debts or has declared that it has no intention or ability to discharge all of its debts, loans received, and other obligations.

If your treasurer does not want to declare that the committee has no intention or ability to discharge all of its debts, loans received, and other obligations, we recommend that the committee remain open until the issue is resolved.
Authority

The following Government Code sections and Title 2 regulations provide authority for the information in this chapter:

**Government Code Sections**

82004.5  Behested Payment.
82041.3  Made at the Behest of.
82015  Contribution.
84103  Statement of Organization; Amendment.
84200  Semi-Annual Statements.
84206  Candidates Who Receive or Spend Less than $2,000.
84214  Termination.
84224  Behested Payment Disclosure.
85200  Statement of Intention to be a Candidate.
85201  Campaign Bank Account.
85304.5  Legal Defense Fund; Local Candidates and Elected Officeholders.
89519  Use of Surplus Campaign Funds.

**Title 2 Regulations**

18215  Contribution.
18215.3  Behested Payments Reporting.
18402  Committee Names.
18404  Termination of Candidate’s and Committees’ Filing Requirements.
18404.1  Termination and Reopening of Committees.
18406  Short Form for Candidates or Officeholders Who Receive and Spend Less than $2,000 in a Calendar Year.
18426  Semi-Annual Statement Early Filing.
18530.45  Legal Defense Funds – Local Candidates and Officers.
18531.5  Recall Elections.
18951  Surplus Funds.
APPENDIX – ABOUT THE POLITICAL REFORM ACT/ HOW TO GET HELP

The Political Reform Act of 1974

The Political Reform Act (the “Act”) was a voter-approved initiative on the 1974 primary election ballot. One of the major provisions of the Act requires the truthful and accurate disclosure of campaign contributions and expenditures during elections.

The Fair Political Practices Commission

The Fair Political Practices Commission (FPPC) is the independent, nonpartisan state agency authorized to implement, interpret, and enforce the provisions of the Act. The Commission is comprised of a full-time chair appointed by the Governor, and four part-time commissioners, one each appointed by the Controller, the Attorney General, the Secretary of State, and the Governor. Each member serves a four-year term and no more than three members may be from the same political party. FPPC staff is comprised of five divisions: Executive, Administration and Technology, Enforcement, Legal, and External Affairs and Education.

Governing Statutes

The Political Reform Act is contained in Government Code Sections 81000 – 91014.

Regulations

Regulations interpreting the Political Reform Act are located at Title 2, Division 6 of the California Code of Regulations, beginning at Section 18110.

Opinions and Advice Letters

The FPPC periodically issues opinions interpreting provisions of the
Political Reform Act. The opinions are adopted at a public meeting, with opportunity for input from interested persons.

In addition, FPPC staff issues written advice letters as to the applicability of the Political Reform Act and regulations to a particular factual situation. Refer to the information on requesting written advice from the FPPC available on the FPPC website.

Contact Information for the FPPC

Fair Political Practices Commission
1102 Q Street, Suite 3000
Sacramento, CA 95811

(916) 322-5660
(866) 275-3772 – Toll-free
www.fppc.ca.gov

Twitter: @CA_FPPC
Facebook: CA FPPC

FPPC Website

Visit the FPPC website (www.fppc.ca.gov) to get copies of specific advice letters, sign up for RSS feeds, or to be put on mailing lists. The Commission’s website also contains a wealth of helpful information, including:

- The Political Reform Act and its corresponding regulations
- Commission opinions
- Notices of Commission meeting dates, agendas, supporting documentation for agenda items, and meeting summaries
- Forms required by the Act (also available at the FPPC’s offices, the Secretary of State’s offices, and many local clerks’ offices)
- Manuals, fact sheets, and useful summaries of the law
• Schedules of upcoming training opportunities.

**Additional Campaign Manuals**

Additional copies of this manual, and manuals for other types of campaign committees are available from the FPPC, the Secretary of State, and many city clerks and county elections offices. Manuals are available for:

• State candidates and officeholders, and committees primarily formed to support/oppose state candidates

• General purpose recipient committees (including PACs, sponsored committees, political party committees, and county central committees)

• Ballot measure committees

• Major donor and independent expenditure committees

• Slate mailer organizations

**Obtaining Information Elsewhere**

A subscription for regulations is available from:

Barclay’s Law Publishing  
P.O. Box 3066  
South San Francisco, CA  94083  
(800) 888-3600

Opinions and advice letters are available from these subscription services:

Westlaw (800) 328-9352  
Database: “CA-ETH”  
(Advice letters from 1986 to present)

Lexis-Nexis (800) 227-9597  
Database: “CA Fair Political Practices Commission”
(Advice letters from 1990 to present)

**Other Resources**

The Secretary of State, city clerks, and county clerks or registrars of voters are the filing officers for campaign disclosure statements. Committee statements will be filed with the Secretary of State or the local elections office, depending on whether the filer is a state or local candidate or committee.

**Secretary of State**

The Secretary of State is also responsible for issuing campaign committee identification numbers.

(916) 653-6224  
www.sos.ca.gov

**Federal Election Commission**

The Federal Election Commission answers questions regarding federal elections and contributions to all candidates from national banks, national corporations, and foreign nationals.

Federal Election Commission  
999 E Street, NW  
Washington, DC  20463  
(800) 424-9530  
www.fec.gov

**Franchise Tax Board**

The California Franchise Tax Board is responsible for responding to questions regarding tax status, tax-deductibility of political contributions, 501(c)(3) groups, audits, or any tax-related questions.
Internal Revenue Service

The Internal Revenue Service provides assistance regarding federal tax laws and obtaining a taxpayer identification number.

(877) 829-5500 (located in Washington, D.C.)
(800) 829-3676 (taxpayer ID number)
www.irs.gov

Federal Communications Commission

The Federal Communications Commission answers questions regarding rates for purchasing broadcast time and equal access to broadcast media.

(888) 225-5322 (located in Washington, D.C.)
www.fcc.gov
Email: fccinfo@fcc.gov

Local Campaign Ordinances

A city or county officeholder, candidate, or committee may be subject to additional reporting or other requirements under a local campaign ordinance. Common examples include the requirement to file campaign statements electronically, local contribution limits, lower itemization thresholds, or the requirement to file an additional preelection statement. A city or county campaign ordinance may never preempt state law.

Privacy Information Notice

Information required on all FPPC forms is used by the FPPC to administer and enforce the Political Reform Act (Government Code sections 81000 – 91014 and California Code of Regulations sections 18110 – 18997). All information required by these forms is mandated by the Political Reform Act. Failure to provide all of the information required by the Act is a violation subject to administrative, criminal
or civil prosecution. All reports and statements provided are public records open for public inspection and reproduction.

If you have any questions regarding this Privacy Notice, please contact the FPPC at:

General Counsel
1102 Q Street, Suite 3000
Sacramento, CA 95811
(916) 322-5660

Campaign statements are filed with the Secretary of State and city and county filing officers, depending upon the type of committee. (See Chapter 9.)

**Enforcement**

The Fair Political Practices Commission, the Attorney General, county district attorneys, and elected city attorneys of charter cities have enforcement authority under the Act. Failure to provide all or any part of the information required by the Political Reform Act is a violation subject to:

- An administrative enforcement proceeding before the Fair Political Practices Commission;
- A criminal misdemeanor proceeding;
- A civil action; and
- Levying of late penalties by filing officers.
Penalties of up to $5,000 per violation of the Political Reform Act may be imposed.
Candidate Intention Statement

Who Files:
A candidate for state or local office must file this form for each election, including reelection to the same office. Exception: 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 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
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 including for campaigns that are self-funded by the candidate. A bank account is not required if a candidate will not receive any contributions or make personal expenditures of less than $2,000 in a calendar year. 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/.
• Check the appropriate box regarding the office’s jurisdiction.

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 and the Information Practices Act of 1977, see the FPPC Campaign Disclosure Manual for your type of committee.
Candidate Intention Statement

Check One:  ☐ Initial  ☐ Amendment (Explain)  

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

PARTY PREFERENCE:

☐ State (Complete Part 2.)  ☐ PRIMARY / GENERAL

☐ City  ☐ County  ☐ Multi-County:  ☐ (Name of Multi-County Jurisdiction)  ☐ (Year of Election)

2. State Candidate Expenditure Limit Statement:

(CalPERS and CalSTRS candidates, judges, judicial candidates, and candidates for local offices do not complete Part 2.)

☐ 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.

☐ 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 ___________________________  Signature ___________________________

(month, day, year)  (Candidate)
### Statement of Organization
Recipient Committee

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<tr>
<th>Who Files</th>
<th>Where to File</th>
<th>24-Hour Reporting</th>
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| **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. | **All Committees:** Form 410 with original ink signature(s). Secretary of State Political Reform Division 1500 11th Street, Rm 495 Sacramento, CA 95814 **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.** | **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, 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 and the Information Practices Act of 1977, see the FPPC Campaign Disclosure Manual for your type of committee. |

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.
**Statement of Organization**

**Recipient Committee**

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<td>☐ Date qualification threshold met</td>
<td>☐ Date of termination</td>
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**1. Committee Information**

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<td>AREA CODE/PHONE</td>
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<tr>
<td>COUNTY OF DOMICILE</td>
<td>JURISDICTION WHERE COMMITTEE IS ACTIVE</td>
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**2. Treasurer and Other Principal Officers**

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<td>STREET ADDRESS (NO P.O. BOX)</td>
<td>CITY</td>
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<tr>
<td>NAME OF ASSISTANT TREASURER, IF ANY</td>
<td>STREET ADDRESS (NO P.O. BOX)</td>
</tr>
<tr>
<td>NAME OF PRINCIPAL OFFICER(S)</td>
<td>STREET ADDRESS (NO P.O. BOX)</td>
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**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 ___________ By ____________________________

DATE

SIGNATURE OF TREASURER OR ASSISTANT TREASURER

Executed on ___________ By ____________________________

DATE

SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROponent

Executed on ___________ By ____________________________

DATE

SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROponent

Executed on ___________ By ____________________________

DATE

SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROponent

**Attach additional information on appropriately labeled continuation sheets.**
Instructions for Statement of Organization

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 he or she 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).
• All committees must list the financial institution where the campaign bank account is located.

<table>
<thead>
<tr>
<th>NAME OF FINANCIAL INSTITUTION</th>
<th>AREA CODE/PHONE</th>
<th>BANK ACCOUNT NUMBER</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADDRESS</td>
<td>CITY</td>
<td>STATE</td>
</tr>
</tbody>
</table>

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.

<table>
<thead>
<tr>
<th>NAME OF CANDIDATE/OFFICEHOLDER/STATE MEASURE PROONENT</th>
<th>ELECTIVE OFFICE SOUGHT OR HELD (INCLUDE DISTRICT NUMBER IF APPLICABLE)</th>
<th>YEAR OF ELECTION</th>
<th>PARTY</th>
<th>CHECK ONE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td>Nonpartisan</td>
<td>Partisan</td>
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</tbody>
</table>

**Primarily Formed Committee**  Primarily formed to support or oppose specific candidates or measures in a single election.  List below:

<table>
<thead>
<tr>
<th>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</th>
<th>CANDIDATE(S) OFFICE SOUGHT OR HELD OR MEASURE(S) JURISDICTION (INCLUDE DISTRICT NO., CITY OR COUNTY, AS APPLICABLE)</th>
<th>CHECK ONE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>SUPPORT</td>
</tr>
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<td></td>
<td></td>
<td>SUPPORT</td>
</tr>
</tbody>
</table>
Instructions for
Statement of Organization

2. Treasurer and Other Principal Officers:
A committee may have only one treasurer and one assistant treasurer. A candidate may be his or her 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.

3. Verification/Original Ink Signature(s):
The Form 410 filed with the Secretary of State must contain an original 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 his or her own treasurer, he or she 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.
- Non-qualified committees are not required to list a bank account.

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 his or her 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.

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.
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

**Sponsored Committee** List additional sponsors on an attachment.

<table>
<thead>
<tr>
<th>NAME OF SPONSOR</th>
<th>INDUSTRY GROUP OR AFFILIATION OF SPONSOR</th>
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<tr>
<th>STREET ADDRESS</th>
<th>NO. AND STREET</th>
<th>CITY</th>
<th>STATE</th>
<th>ZIP CODE</th>
<th>AREA CODE/PHONE</th>
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</table>

**Small Contributor Committee**

☐ __________/__________/_______ Date qualified

5. Termination Requirements  By signing the verification, the treasurer, assistant treasurer and/or candidate, officeholder, or proponent 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.
Instructions for Statement of Organization

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.

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:

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.

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.
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 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.

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. 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).
Instructions for Recipient Committee Campaign Statement

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

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.
### 1. Type of Recipient Committee: All Committees – Complete Parts 1, 2, 3, and 4.

- [ ] Officeholder, Candidate Controlled Committee
  - [ ] State Candidate Election Committee
  - [ ] Recall (Also Complete Part 5)
- [ ] General Purpose Committee
  - [ ] Sponsored
  - [ ] Small Contributor Committee
  - [ ] Political Party/Central Committee
- [ ] Primarily Formed Ballot Measure Committee
  - [ ] Controlled
  - [ ] Sponsored (Also Complete Part 6)
- [ ] Primarily Formed Candidate/Officeholder Committee (Also Complete Part 7)

### 2. Type of Statement:

- [ ] Preelection Statement
- [ ] Semi-annual Statement
- [ ] Termination Statement (Also file a Form 410 Termination)
- [ ] Amendment (Explain below)
- [ ] Quarterly Statement
- [ ] Special Odd-Year Report

### 3. Committee Information

**Committee Name (or Candidate’s Name if No Committee)**

**I.D. Number**

<table>
<thead>
<tr>
<th>STREET ADDRESS (NO P.O. BOX)</th>
<th>CITY</th>
<th>STATE</th>
<th>ZIP CODE</th>
<th>AREA CODE/PHONE</th>
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<tbody>
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</table>

<table>
<thead>
<tr>
<th>MAILING ADDRESS (IF DIFFERENT) NO. AND STREET OR P.O. BOX</th>
<th>CITY</th>
<th>STATE</th>
<th>ZIP CODE</th>
<th>AREA CODE/PHONE</th>
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<tbody>
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</table>

**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
Instructions for Recipient Committee Campaign Statement – Cover Page

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 pre-election 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.
5. Officeholder or Candidate Controlled Committee

<table>
<thead>
<tr>
<th>NAME OF OFFICEHOLDER OR CANDIDATE</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>OFFICE SOUGHT OR HELD (INCLUDE LOCATION AND DISTRICT NUMBER IF APPLICABLE)</td>
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</tr>
<tr>
<td>RESIDENTIAL/BUSINESS ADDRESS (NO. AND STREET)</td>
<td>CITY</td>
</tr>
</tbody>
</table>

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.

<table>
<thead>
<tr>
<th>COMMITTEE NAME</th>
<th>I.D. NUMBER</th>
<th>NAME OF TREASURER</th>
<th>CONTROLLED COMMITTEE?</th>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>COMMITTEE ADDRESS</td>
<td>STREET ADDRESS (NO P.O. BOX)</td>
<td>CITY</td>
<td>STATE</td>
<td>ZIP CODE</td>
<td>AREA CODE/PHONE</td>
</tr>
</tbody>
</table>

6. Primarily Formed Ballot Measure Committee

<table>
<thead>
<tr>
<th>NAME OF BALLOT MEASURE</th>
<th>BALLOT NO. OR LETTER</th>
<th>JURISDICTION</th>
<th>SUPPORT</th>
<th>OPPOSE</th>
</tr>
</thead>
</table>

Identify the controlling officeholder, candidate, or state measure proponent, if any.

<table>
<thead>
<tr>
<th>NAME OF OFFICEHOLDER, CANDIDATE, OR PROPOONENT</th>
<th>OFFICE SOUGHT OR HELD</th>
<th>DISTRICT NO. IF ANY</th>
</tr>
</thead>
</table>

7. Primarily Formed Candidate/Officeholder Committee List names of officeholder(s) or candidate(s) for which this committee is primarily formed.

<table>
<thead>
<tr>
<th>NAME OF OFFICEHOLDER OR CANDIDATE</th>
<th>OFFICE SOUGHT OR HELD</th>
<th>SUPPORT</th>
<th>OPPOSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>NAME OF OFFICEHOLDER OR CANDIDATE</td>
<td>OFFICE SOUGHT OR HELD</td>
<td>SUPPORT</td>
<td>OPPOSE</td>
</tr>
<tr>
<td>NAME OF OFFICEHOLDER OR CANDIDATE</td>
<td>OFFICE SOUGHT OR HELD</td>
<td>SUPPORT</td>
<td>OPPOSE</td>
</tr>
<tr>
<td>NAME OF OFFICEHOLDER OR CANDIDATE</td>
<td>OFFICE SOUGHT OR HELD</td>
<td>SUPPORT</td>
<td>OPPOSE</td>
</tr>
</tbody>
</table>

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.
### Contributions Received

<table>
<thead>
<tr>
<th>Line</th>
<th>Description</th>
<th>Column A</th>
<th>Column B</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Monetary Contributions</td>
<td>Schedule A, Line 3</td>
<td>$</td>
</tr>
<tr>
<td>2.</td>
<td>Loans Received</td>
<td>Schedule B, Line 3</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>SUBTOTAL CASH CONTRIBUTIONS</td>
<td>Add Lines 1 + 2</td>
<td>$</td>
</tr>
<tr>
<td>4.</td>
<td>Nonmonetary Contributions</td>
<td>Schedule C, Line 3</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>TOTAL CONTRIBUTIONS RECEIVED</td>
<td>Add Lines 3 + 4</td>
<td>$</td>
</tr>
</tbody>
</table>

### Expenditures Made

<table>
<thead>
<tr>
<th>Line</th>
<th>Description</th>
<th>Column A</th>
<th>Column B</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.</td>
<td>Payments Made</td>
<td>Schedule E, Line 4</td>
<td>$</td>
</tr>
<tr>
<td>7.</td>
<td>Loans Made</td>
<td>Schedule H, Line 3</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>SUBTOTAL CASH PAYMENTS</td>
<td>Add Lines 6 + 7</td>
<td>$</td>
</tr>
<tr>
<td>9.</td>
<td>Accrued Expenses (Unpaid Bills)</td>
<td>Schedule F, Line 3</td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>Nonmonetary Adjustment</td>
<td>Schedule C, Line 3</td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td>TOTAL EXPENDITURES MADE</td>
<td>Add Lines 8 + 9 + 10</td>
<td>$</td>
</tr>
</tbody>
</table>

### Current Cash Statement

<table>
<thead>
<tr>
<th>Line</th>
<th>Description</th>
<th>Column A</th>
</tr>
</thead>
<tbody>
<tr>
<td>12.</td>
<td>Beginning Cash Balance</td>
<td>Previous Summary Page, Line 16</td>
</tr>
<tr>
<td>13.</td>
<td>Cash Receipts</td>
<td>Column A, Line 3 above</td>
</tr>
<tr>
<td>14.</td>
<td>Miscellaneous Increases to Cash</td>
<td>Schedule I, Line 4</td>
</tr>
<tr>
<td>15.</td>
<td>Cash Payments</td>
<td>Column A, Line 8 above</td>
</tr>
<tr>
<td>16.</td>
<td>ENDING CASH BALANCE</td>
<td>Add Lines 12 + 13 + 14, then subtract Line 15</td>
</tr>
</tbody>
</table>

*If this is a termination statement, Line 16 must be zero.*

### Cash Equivalents and Outstanding Debts

<table>
<thead>
<tr>
<th>Line</th>
<th>Description</th>
<th>Column A</th>
</tr>
</thead>
<tbody>
<tr>
<td>17.</td>
<td>LOAN GUARANTEES RECEIVED</td>
<td>Schedule B, Part 2</td>
</tr>
<tr>
<td>18.</td>
<td>Cash Equivalents</td>
<td>See instructions on reverse</td>
</tr>
<tr>
<td>19.</td>
<td>Outstanding Debts</td>
<td>Add Line 2 + Line 9 in Column B above</td>
</tr>
</tbody>
</table>
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 pre-election 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 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 $ __________
Instructions for Schedule A
Monetary Contributions Received

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.

<table>
<thead>
<tr>
<th>DATE RECEIVED</th>
<th>FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)</th>
<th>CONTRIBUTOR CODE *</th>
<th>IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)</th>
<th>AMOUNT RECEIVED THIS PERIOD</th>
<th>CUMULATIVE TO DATE CALENDAR YEAR (JAN. 1 - DEC. 31)</th>
<th>PER ELECTION TO DATE (IF REQUIRED)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>IND</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>COM</td>
<td></td>
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<td></td>
<td></td>
<td>OTH</td>
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<td></td>
<td></td>
<td>PTY</td>
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<tr>
<td></td>
<td></td>
<td>SCC</td>
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<td></td>
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<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>IND</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>COM</td>
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<td></td>
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<td>OTH</td>
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<td>PTY</td>
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<td>SCC</td>
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<td></td>
<td></td>
<td>IND</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>COM</td>
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<td>OTH</td>
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<td></td>
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<td>PTY</td>
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<td>SCC</td>
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<td>IND</td>
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<td>COM</td>
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<td>PTY</td>
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<tr>
<td></td>
<td></td>
<td>SCC</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**SUBTOTAL $**

---

*Contributor Codes

IND – Individual
COM – Recipient Committee
OTH – Other (e.g., business entity)
PTY – Political Party
SCC – Small Contributor Committee

**CALIFORNIA FORM 460**

Statement covers period from __________ to __________

Page _____ of _____

NAME OF FILER

I.D. NUMBER

FPPC Form 460 (Jan/2016)
FPPC Advice: advice@fppc.ca.gov (866/275-3772)
www.fppc.ca.gov
Schedule B – Part 1
Loans Received

Amounts may be rounded to whole dollars.

Statement covers period from ____________ through ____________

Page _____ of _____

<table>
<thead>
<tr>
<th>FULL NAME, STREET ADDRESS AND ZIP CODE OF LENDER</th>
<th>IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)</th>
<th>OUTSTANDING BALANCE BEGINNING THIS PERIOD</th>
<th>(b) AMOUNT RECEIVED THIS PERIOD</th>
<th>(c) AMOUNT PAID OR FORGIVEN THIS PERIOD</th>
<th>OUTSTANDING BALANCE AT CLOSE OF THIS PERIOD</th>
<th>(e) INTEREST PAID THIS PERIOD</th>
<th>(f) ORIGINAL AMOUNT OF LOAN</th>
<th>(g) CUMULATIVE CONTRIBUTIONS TO DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑ IND ☐ COM ☐ OTH ☐ PTY ☐ SCC</td>
<td></td>
<td>$_________</td>
<td>$_________</td>
<td>☑ PAID $_________ ☐ FORGIVEN $_________</td>
<td>☑ PAID $_________ ☐ FORGIVEN $_________</td>
<td>☑ PAID $_________ ☐ FORGIVEN $_________</td>
<td>☑ PAID $_________ ☐ FORGIVEN $_________</td>
<td>☑ PAID $_________ ☐ FORGIVEN $_________</td>
</tr>
<tr>
<td>☑ IND ☐ COM ☐ OTH ☐ PTY ☐ SCC</td>
<td></td>
<td>$_________</td>
<td>$_________</td>
<td>☑ PAID $_________ ☐ FORGIVEN $_________</td>
<td>☑ PAID $_________ ☐ FORGIVEN $_________</td>
<td>☑ PAID $_________ ☐ FORGIVEN $_________</td>
<td>☑ PAID $_________ ☐ FORGIVEN $_________</td>
<td>☑ PAID $_________ ☐ FORGIVEN $_________</td>
</tr>
<tr>
<td>☑ IND ☐ COM ☐ OTH ☐ PTY ☐ SCC</td>
<td></td>
<td>$_________</td>
<td>$_________</td>
<td>☑ PAID $_________ ☐ FORGIVEN $_________</td>
<td>☑ PAID $_________ ☐ FORGIVEN $_________</td>
<td>☑ PAID $_________ ☐ FORGIVEN $_________</td>
<td>☑ PAID $_________ ☐ FORGIVEN $_________</td>
<td>☑ PAID $_________ ☐ FORGIVEN $_________</td>
</tr>
</tbody>
</table>

**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 $_________ (May be a negative number)

*Amounts forgiven or paid by another party also must be reported on Schedule A. **If required.

†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

FPPC Form 460 (Jan/2016)
FPPC Advice: advice@fppc.ca.gov (866/275-3772)
www.fppc.ca.gov
Instructions for Schedule B – Part 1
Loans Received

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.

Statement covers period from _______________ through _______________.

Page _____ of _____

I.D. NUMBER

<table>
<thead>
<tr>
<th>FULL NAME, STREET ADDRESS AND ZIP CODE OF GUARANTOR</th>
<th>CONTRIBUTOR CODE</th>
<th>IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)</th>
<th>LOAN</th>
<th>AMOUNT GUARANTEED THIS PERIOD</th>
<th>CUMULATIVE TO DATE</th>
<th>BALANCE OUTSTANDING TO DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ IND</td>
<td></td>
<td>LENDER</td>
<td></td>
<td></td>
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</tbody>
</table>

SUBTOTAL $ ______________

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 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.)
   $___________________________

---

**Schedule C**

**Nonmonetary Contributions Received**

Amounts may be rounded to whole dollars.

<table>
<thead>
<tr>
<th>DATE RECEIVED</th>
<th>FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)</th>
<th>CONTRIBUTOR CODE *</th>
<th>IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)</th>
<th>DESCRIPTION OF GOODS OR SERVICES</th>
<th>AMOUNT/FAIR MARKET VALUE</th>
<th>CUMULATIVE TO DATE CALENDAR YEAR (JAN 1 - DEC 31)</th>
<th>PER ELECTION TO DATE (IF REQUIRED)</th>
</tr>
</thead>
<tbody>
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<td>SCC</td>
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</tr>
</tbody>
</table>

**Attach additional information on appropriately labeled continuation sheets.**

SUBTOTAL $___________________________

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*Contributor Codes

IND – Individual
COM – Recipient Committee
OTH – Other (e.g., business entity)
PTY – Political Party
SCC – Small Contributor Committee

FPPC Form 460 (Jan/2016)
FPPC Advice: advice@fppc.ca.gov (866/275-3772)
www.fppc.ca.gov
Instructions for
Schedule C
Nonmonetary Contributions Received

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.

FPPC Form 460 (Jan/2016)
FPPC Advice: advice@fppc.ca.gov (866/275-3772)
www.fppc.ca.gov
Schedule D
Summary of Expenditures Supporting/Opposing Other Candidates, Measures and Committees

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

CALIFORNIA FORM 460

SCHEDULE D

Statement covers period from _______________ through _______________

Page______ of ______

I.D. NUMBER

<table>
<thead>
<tr>
<th>DATE</th>
<th>NAME OF CANDIDATE, OFFICE, AND DISTRICT, OR MEASURE NUMBER OR LETTER AND JURISDICTION, OR COMMITTEE</th>
<th>TYPE OF PAYMENT</th>
<th>DESCRIPTION (IF REQUIRED)</th>
<th>AMOUNT THIS PERIOD</th>
<th>CUMULATIVE TO DATE CALENDAR YEAR (JAN. 1 - DEC. 31)</th>
<th>PER ELECTION TO DATE (IF REQUIRED)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td>Monetary Contribution</td>
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<td>Independent Expenditure</td>
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<td></td>
<td><em>Support</em>  <em>Oppose</em></td>
<td>Monetary Contribution</td>
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<td>Nonmonetary Contribution</td>
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<td>Independent Expenditure</td>
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<tr>
<td></td>
<td><em>Support</em>  <em>Oppose</em></td>
<td>Monetary Contribution</td>
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<td>Nonmonetary Contribution</td>
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<td></td>
<td>Independent Expenditure</td>
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</tr>
</tbody>
</table>

SUBTOTAL $  

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 $ ______________

FPPC Form 460 (Jan/2016)
FPPC Advice: advice@fppc.ca.gov (866/275-3772)
www.fppc.ca.gov
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.”

<table>
<thead>
<tr>
<th>“Per Election to Date” Column</th>
<th>Limitation Cycle</th>
<th>Year of Election</th>
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</thead>
<tbody>
<tr>
<td>Primary</td>
<td>P</td>
<td>2016 16</td>
</tr>
<tr>
<td>General</td>
<td>G</td>
<td>2017 17</td>
</tr>
<tr>
<td>Special</td>
<td>S</td>
<td>2018 18</td>
</tr>
<tr>
<td>Runoff</td>
<td>R</td>
<td>2019 19</td>
</tr>
</tbody>
</table>

**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 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.

<table>
<thead>
<tr>
<th>DATE</th>
<th>NAME OF CANDIDATE, OFFICE, AND DISTRICT, OR MEASURE NUMBER OR LETTER AND JURISDICTION, OR COMMITTEE</th>
<th>TYPE OF PAYMENT</th>
<th>DESCRIPTION (IF REQUIRED)</th>
<th>AMOUNT THIS PERIOD</th>
<th>CUMULATIVE TO DATE CALENDAR YEAR (JAN. 1 - DEC. 31)</th>
<th>PER ELECTION TO DATE (IF REQUIRED)</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>□ Support  □ Oppose  □ Monetary Contribution  □ Nonmonetary Contribution  □ Independent Expenditure</td>
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<tr>
<td></td>
<td>□ Support  □ Oppose  □ Monetary Contribution  □ Nonmonetary Contribution  □ Independent Expenditure</td>
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</table>

**SUBTOTAL $**
Schedule E
Payments Made

Amounts may be rounded to whole dollars.

Statement covers period from ___________ through ___________

<table>
<thead>
<tr>
<th>CODES: If one of the following codes accurately describes the payment, you may enter the code. Otherwise, describe the payment.</th>
</tr>
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<tbody>
<tr>
<td>CMP campaign paraphernalia/misc.</td>
</tr>
<tr>
<td>CNS campaign consultants</td>
</tr>
<tr>
<td>CTB contribution (explain nonmonetary)*</td>
</tr>
<tr>
<td>CVC civic donations</td>
</tr>
<tr>
<td>FIL candidate filing/ballot fees</td>
</tr>
<tr>
<td>FND fundraising events</td>
</tr>
<tr>
<td>IND independent expenditure supporting/opposing others (explain)*</td>
</tr>
<tr>
<td>LEG legal defense</td>
</tr>
<tr>
<td>LIT campaign literature and mailings</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NAME AND ADDRESS OF PAYEE (IF COMMITTEE, ALSO ENTER I.D. NUMBER)</th>
<th>CODE</th>
<th>OR</th>
<th>DESCRIPTION OF PAYMENT</th>
<th>AMOUNT PAID</th>
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</tbody>
</table>

* Payments that are contributions or independent expenditures must also be summarized on Schedule D.

**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 $ ___________

SCHEDULE E

CALIFORNIA FORM
460

FPPC Form 460 (Jan/2016)
FPPC Advice: advice@fppc.ca.gov (866/275-3772)
www.fppc.ca.gov
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.
Schedule E
(Continuation Sheet)
Payments Made

SEE INSTRUCTIONS ON REVERSE
NAME OF FILER

CODES: If one of the following codes accurately describes the payment, you may enter the code. Otherwise, describe the payment.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CMP</td>
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</tr>
<tr>
<td>CNS</td>
<td>campaign consultants</td>
</tr>
<tr>
<td>CTB</td>
<td>contribution (explain nonmonetary)*</td>
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</table>

NAME AND ADDRESS OF PAYEE
(If COMMITTEE, ALSO ENTER I.D. NUMBER)

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<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION OF PAYMENT</th>
<th>AMOUNT PAID</th>
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</thead>
<tbody>
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</table>

* Payments that are contributions or independent expenditures must also be summarized on Schedule D.

SUBTOTAL $
Instructions for Schedule E (Continued) // Payments Made

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 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, photocopyer, 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)

CODES: If one of the following codes accurately describes the payment, you may enter the code. Otherwise, describe the payment.

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<table>
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<tr>
<th>NAME AND ADDRESS OF CREDITOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)</th>
<th>CODE OR DESCRIPTION OF PAYMENT</th>
<th>(a) OUTSTANDING BALANCE BEGINNING OF THIS PERIOD</th>
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</tbody>
</table>

*Payments that are contributions or independent expenditures must also be summarized on Schedule D.

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)

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)

**CODES:** If one of the following codes accurately describes the payment, you may enter the code. Otherwise, describe the payment.

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**SUBTOTALS** $ $ $ $
### Schedule G
Payments Made by an Agent or Independent Contractor (on Behalf of This Committee)

Amounts may be rounded to whole dollars.

**Statement covers period**

from ________________

through ________________

**CALIFORNIA FORM 460**

---

**NAME OF FILER**

**NAME OF AGENT OR INDEPENDENT CONTRACTOR**

### CODES:
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(IF COMMITTEE, ALSO ENTER I.D. NUMBER)

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**TOTAL** $ 

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Attach additional information on appropriately labeled continuation sheets.

---

* Do not transfer to any other schedule or to the Summary Page. This total may not equal the amount paid to the agent or independent contractor as reported on Schedule E.
Instructions for
Schedule G
Payments Made by an Agent or
Independent Contractor

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 ___________**

<table>
<thead>
<tr>
<th>FULL NAME, STREET ADDRESS AND ZIP CODE OF RECIPIENT</th>
<th>IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)</th>
<th>(a) OUTSTANDING BALANCE BEGINNING THIS PERIOD</th>
<th>(b) AMOUNT LOANED THIS PERIOD</th>
<th>(c) REPAYMENT OR FORGIVENESS THIS PERIOD*</th>
<th>(d) OUTSTANDING BALANCE AT CLOSE OF THIS PERIOD</th>
<th>(e) INTEREST RECEIVED</th>
<th>(f) ORIGINAL AMOUNT OF LOAN</th>
<th>(g) CUMULATIVE LOANS TO DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td>$ _______ $ _______</td>
<td>$ _______ $ _______</td>
<td>$ _______ $ _______ $ _______</td>
<td>$ _______ $ _______ $ _______</td>
<td>CALENDAR YEAR</td>
<td>PER ELECTION**</td>
<td>$ _______ $ _______</td>
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<td></td>
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<td>$ _______ $ _______</td>
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<td></td>
<td></td>
<td>DATE DUE</td>
<td>DATE INCURED</td>
<td></td>
</tr>
</tbody>
</table>

*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.

**SUBTOTALS** $ _______ $ _______ $ _______ $ _______.

(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.)

(FPPC Form 460 (Jan/2016)
FPPC Advice: advice@fppc.ca.gov (866/275-3772)
www.fppc.ca.gov)
Instructions for
Schedule H
Loans Made to Others

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.
<table>
<thead>
<tr>
<th>DATE RECEIVED</th>
<th>FULL NAME AND ADDRESS OF SOURCE (IF COMMITTEE, ALSO ENTER I.D. NUMBER)</th>
<th>DESCRIPTION OF RECEIPT</th>
<th>AMOUNT OF INCREASE TO CASH</th>
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*Attach additional information on appropriately labeled continuation sheets.*

**SUBTOTAL $**

### Schedule I 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

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).
Officeholder and Candidate Campaign Statement — Short Form - AND - Form 470 Supplement

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 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

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)

#### Amendment
(Explain Below)

---

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.

<table>
<thead>
<tr>
<th>COMMITTEE NAME AND I.D. NUMBER</th>
<th>COMMITTEE ADDRESS</th>
<th>NAME OF TREASURER</th>
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</table>

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]
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

<table>
<thead>
<tr>
<th>NAME OF OFFICEHOLDER OR CANDIDATE</th>
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<tbody>
<tr>
<td>STREET ADDRESS</td>
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<tr>
<td>CITY</td>
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<tr>
<td>STATE</td>
</tr>
<tr>
<td>ZIP CODE</td>
</tr>
<tr>
<td>AREA CODE/DAYTIME PHONE NUMBER</td>
</tr>
<tr>
<td>OPTIONAL: FAX / E-MAIL ADDRESS</td>
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</tbody>
</table>

2. Office Sought

<table>
<thead>
<tr>
<th>OFFICE SOUGHT</th>
<th>DISTRICT NUMBER (IF APPLICABLE)</th>
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</thead>
<tbody>
<tr>
<td>DATE OF ELECTION (MONTH, DAY, YEAR)</td>
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</tr>
</tbody>
</table>

3. Date Contributions Totaling $2,000 or More Were Received or Date Expenditures of $2,000 or More Were Made

(MONTH, DAY, YEAR)
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.
497 24-hour/10-day Contribution Report Instructions

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.\(^1\)

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.

\(^1\) A measure includes certain LAFCO proceedings.
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.**

<table>
<thead>
<tr>
<th>NAME OF FILER</th>
<th>AREA CODE/PHONE NUMBER</th>
<th>I.D. NUMBER (if applicable)</th>
<th>Date of This Filing</th>
<th>Date Stamp</th>
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<thead>
<tr>
<th>STREET ADDRESS</th>
<th>CITY</th>
<th>STATE</th>
<th>ZIP CODE</th>
<th>Reason for Amendment:</th>
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#### 1. Contribution(s) Received

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<tr>
<th>DATE RECEIVED</th>
<th>FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)</th>
<th>CONTRIBUTOR CODE*</th>
<th>IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)</th>
<th>AMOUNT RECEIVED</th>
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*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

FPPC Form 497 (Feb/2019)
FPPC Advice: advice@fppc.ca.gov (866/275-3772)
www.fppc.ca.gov
497 24-hour/10-day Contribution Report Instructions

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, 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).

Authority cited: Government Code Sections 82036, 84203, 84203.3, 84204.5, 84250 and 85309 and FPPC Regulations 18116 and 18466

FPCC Form 497 (Feb/2019)
FPPC Advice: advice@fppc.ca.gov (866/275-3772)
www.fppc.ca.gov
497 Contribution Report

Amounts may be rounded to whole dollars.

NAME OF FILER

AREA CODE/PHONE NUMBER

I.D. NUMBER (if applicable)

STREET ADDRESS

CITY

STATE

ZIP CODE

Date of This Filing

Report No.

Amendment to Report No.

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: ____________________________

FPPC Form 497 (Feb/2019)
FPPC Advice: advice@fppc.ca.gov (866/275-3772)
www.fppc.ca.gov
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
Web site: www.fppc.ca.gov

February 2019
Introduction

The Political Reform Act\(^1\) (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,\(^2\) excluding judges;\(^3\)
- 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\(^4\) 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.

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 or visit our website at 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.)

---

\(^1\) 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.

\(^2\) 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.

\(^3\) The gift limits and honoraria ban in the Political Reform Act do not apply to a person in his or her capacity as judge. However, candidates for judicial offices are subject to the restrictions contained in the Political Reform Act.  (Sections 89502 and 89503.)

\(^4\) For purposes of the gift limit and honoraria prohibition, an individual becomes a "candidate" when he or she files 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, he or she will no longer be subject to the gift limit and honoraria prohibition when he or she has terminated his or her campaign filing obligations, or after certification of election results, whichever is earlier.  (Sections 89502(b) and 89503(b).)
Gifts

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 $500 in a calendar year. (Section 89503.)

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 $500 in a calendar year if the employee is required to report receiving income or gifts from that source on his or her 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 he or she has actual possession of the gift or when he or she takes 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.) Anything given to a family member 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 engages 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 his or her own support.

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5 The gift limit is adjusted biennially to reflect changes in the Consumer Price Index. For 2019-2020, the gift limit is $500. (Section 89503; Regulation 18940.2.) Gifts from a single source aggregating to $50 or more must be disclosed, and gifts aggregating to $500 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 $500 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 covering 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

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<tr>
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<tr>
<td>No</td>
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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 he or she is 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 his or her 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 $500, 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

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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 his or her 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 barbecues, 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 $500 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**

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<tr>
<td>Yes - ½ value as gift</td>
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<td>No</td>
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**Wedding Gifts.** Wedding gifts are not subject to the $500 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**

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<tbody>
<tr>
<td>Yes - As Income</td>
<td>Yes</td>
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**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**

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<th>Reporting</th>
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<tr>
<td>Yes - On 801 or 802</td>
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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

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<tr>
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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 82015(b)(2)(B)(iii) and (b)(3) and require disclosure by that elected officer.

Form 803 – Behested Payment Report

- Behested payments are payments made principally for legislative, governmental, or charitable purposes. These payments are not for personal or campaign purposes. 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.
- 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 his or her 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 82015; Regulation 18215.3.)
Honoraria

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 his or her 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 his or her 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 he or she gives 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 he or she is 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 his or her 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

Generally, when an official receives a payment (including reimbursement) for his or her 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 $500 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 him or herself from any decision that will have a foreseeable materially financial effect on the source.

Certain Travel Payments are not a Gift, Income or Honorarium

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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 $500 Gift Limit or Honoraria Ban of the Act.**

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**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 proceeding, 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**

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<td>Yes - as Income</td>
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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

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), he or she may not receive a personal loan that exceeds $250 at any given time from an officer, employee, member, or consultant of his or her government agency or an agency over which his or her 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 his or her government agency or an agency over which his or her 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 his or her 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, he or she 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 he or she is 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:

1. 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.

2. 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 have 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.
Making the Leap to Public Service:

What to Know about Ethics Laws Before You Are Elected or Appointed

8/2012

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.

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.

www.ca-ilg.org

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.

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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.)
- Cannot ask agency staff for campaign contributions and should not ask staff to support their candidacies.

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.

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 over $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.

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.

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.

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.


For more information on how to take these steps, visit 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.