STATEMENT OF ECONOMIC INTERESTS

FILING OFFICER DUTIES & CHANGES WITH AB1170

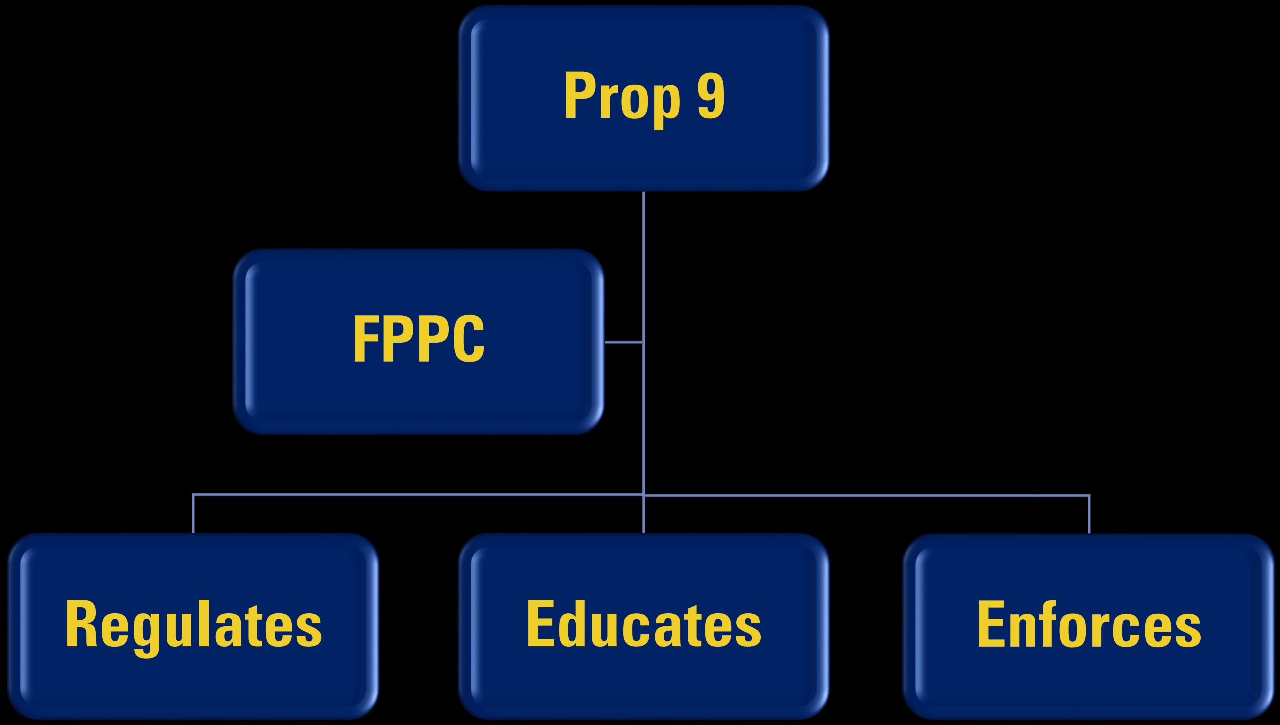
PRESENTED BY: CHLOE HACKERT

EDUCATION AND EXTERNAL AFFAIRS UNIT

FAIR POLITICAL PRACTICES COMMISSION

NOVEMBER 20, 2024

Fair Political Practices Commission (FPPC)



THIS WEBINAR WILL COVER:

- FILING OFFICER DUTIES
- TYPES OF FILERS
- ELECTRONIC FILING (AB1170)
- NOTIFICATION GUIDELINES
- ASSUMING AND LEAVING OFFICE
- REVIEWING STATEMENTS
- AMENDMENTS
- STATEMENT RETENTION
- PUBLIC ACCESS
- FINING POLICY
- ENFORCEMENT REFERRALS
- 800 SERIES FORMS SUMMARY

Filing Officer Duties

Regulation 18115

SUMMARY OF DUTIES

- Notify individuals of filing obligations
- Provide Form 700, or link to Form, or access to E-Filing
- Ensure that statements are timely filed
- Retain statements and maintain a tracking log
- Notify filers of due dates, errors, and late statements
- Review completed statements
- Provide public access
- Refer violations to FPPC Enforcement Division

As a Filing Officer,

You **CAN**:

- Supply the Form 700
- Notify filer of due dates
- Accept and review completed statements
- Notify filer of errors and request amendments
- Provide contact information for technical help for local e-fling systems

You **CANNOT**:

- Provide answers to gift and travel payment questions
- Investigate the truthfulness of the form
- Provide detailed information on how to complete the form
  - Have filers call or email FPPC advice!

DEFINING TYPES OF FILERS

An Overview of the Different Types of Filers in the Act

TYPES OF FILERS

DESIGNATED EMPLOYEES

- Code Filers

87200 & 87500 FILERS

- Most 87200 Filers are now required to file electronically with the FPPC

ALTERNATES, DESIGNEES, & EX-OFFICIO BOARD MEMBERS

NEW POSITIONS

- Form 804

CONSULTANTS

- Form 805

Types of Filers:
Designated Employees (Code Filers): Local vs. State

Local Agencies

Examples:

- Deputy Director Administration
- Assistant City Clerk
- Public Information Officer (all levels)
- IT Manager
- Economic Development Coordinator
- Senior Engineer of Planning
- Fleet Maintenance Supervisor
- Deputy Chief, Child Support Services

State Agencies

Examples:

- Deputy Director Administration
- Assistant City Clerk
- Public Information Officer (all levels)
- IT Manager
- Economic Development Coordinator
- Senior Engineer of Planning
- Fleet Maintenance Supervisor
- Deputy Chief, Child Support Services

Types of Filers:
87200 Filers: Local vs. State – Those Required to E-File with FPPC

Local Agencies

County Officials

- Board of Supervisors*
- Chief Administrative Officer
- County Counsel
- District Attorney*
- Planning Commissioners
- County Treasurer*

City Officials

- Mayor and Council Members*
- Chief Administrative Officer
- Planning Commissioners
- City Manager
- City Attorney
- City Treasurer*

State Agencies

- Elected State Officers*
- Public Utilities Commission Members
- State Energy Resources Conservation & Development Commission Members
- CA Coastal Commission Members
- CalPERS Elected Board Members*
- CalSTRS Public Investment Managers
- Board of Equalization Members*
- Superintendent of Public Instruction*
- Members of the Legislature*

Effective January 1, 2025, these 87200 filers are now required to file their Form 700s electronically with the FPPC.
* Candidates for these offices must also file a candidate statement Form 700 electronically with the FPPC.

Types of Filers:
87500 Filers: Those Required to E-File with FPPC

Local Agencies

- Judges*
- Court Commissioners
- Head of a local government agency or member of a local government board or commission, if the FPPC is designated as the filing officer in the COIC
- Designated employees of more than one joint powers insurance agency who elect to file a multi-agency statement pursuant to Section 87530

State Agencies

- Designated employees of the Legislature directed to file directly with the FPPC by the house of the Legislature by which they are employed
- Members of a state licensing or regulatory board, bureau, or commission
- Members of the Fair Political Practices Commission
- Appointed members to a state board, commission, or similar multi-member body of the state if the FPPC has been designated as the filing officer in the COIC

Effective January 1, 2025, these filers are now required to file their Form 700s electronically with the FPPC.
* Candidates for these offices must also file a candidate statement Form 700 electronically with the FPPC.

Types of Filers:
Boards & Commissions

Board and commission members that participate in decision making meetings are required to file regardless if they are paid or have voting authority.

This also applies to individuals serving as:

- Alternate members
- Designee members
- Ex-officio members

Types of Filers:
New Positions (Form 804)

- Identifies new positions involved in making or participating in governmental decisions
- Assigns level of disclosure
- Filer must file under full disclosure if disclosure level is not specified
- Individuals must file within 30 days of assuming office
- Kept with agency's conflict of interest code

Agency Report of:
New Positions

A Public Document

California Form **804**

1. **Agency Name** (Also include, Division, Department, or Region (if applicable))
City of Oakland

☐ Amendment

Date of Original Filing: (month, day, year)

Agency Contact
Smith, Adam - Executive Director

Phone Number
(206) 555-6525

Email
adam.smith@cityofoakland.ca.gov

2. **New Position Information**

Position Title/Classification and Job Summary	Assigned Category	OR	Disclosure Requirement	Assuming/Start Date (Optional)
Data Processing Manager (manages IT)	3			Start 03 / 03 / XX (m / d / yr)
Licensing Director (duty statement attached)			All investments, business positions in business entities, and sources of income including gifts, loans, and travel payments, that are of the type subject to licensing by the department or are subject to regulation by the city. *(Alternately, attach a written explanation)*	Start 03 / 08 / XX (m / d / yr)

Types of Filers:
Consultants (Form 805)

- Identifies consultants involved in governmental decision making on behalf of the agency
- Assigns level of disclosure
- Filer must file under full disclosure if disclosure level is not specified
- Individuals must file within 30 days of assuming office
- Kept with agency's conflict of interest code

Agency Report of: Consultants

A Public Document

California Form **805**

1. Agency Name (Also include, Division, Department, or Region (if applicable))

City of Oakland

☐ Amendment

Date of Original Filing: (month, day, year)

Agency Contact

Brian Sheets

Phone Number

555-555-5555

Email

bsheets@cityofoakland.ca.gov

2. Firm Information

Firm Name

ABC Company

Firm Address

1010 Capital St., Sacramento, CA 95814

Email (optional)

abcco@company.com

Email (optional)

3. Consultant Information

Consultant Name	Assigned Category	OR	Disclosure Requirement	Assuming/Start Date Leaving/End Date (if known)
Hector Rodriguez	3			Start 7 / 7 / xx (m / d / yr) End 12 / 12 / xx (m / d / yr)

E-FILING & AB1170

Electronic filing and changes resulting from AB1170

AB1170 (Valencia) – Electronic Filing of SEIs (Form 700) Summary

EFFECTIVE JANUARY 1, 2025, AND REQUIRES:

Officials whose filing officer is the Commission to file their SEIs using the FPPC's electronic filing system

Most 87200 filers will be filing using the FPPC's electronic filing system

Redaction of certain information from SEIs posted online by the FPPC

Authorize filing officers to retain statements filed by paper in electronic or other specified formats immediately upon receiving statements

AB1170 – What Does this Mean? Changes to Existing Law

What's Staying the Same?

- Continue to keep filer information **<u>current</u>** in FPPC's system
  - FPPC requires that you verify the report of your 87200 filers and that it is accurate and up-to-date for FPPC to create logins and send notices
- Provide public access
- Make enforcement referrals for non-87200 filers

What's Changed?

- 87200 Filers are no longer given the option to file on paper or with the local agency's e-file system
  - Filers MUST e-file with FPPC's system, Granicus
- No more electronic data exchange with FPPC's filing system and your local e-filing system
- FPPC will be sending filing notices to 87200 filers
  - All new users will receive a welcome email by December 31, 2024

AB1170 – Redaction Changes to Existing Law

Redaction of Statements – What’s Changed?

- AB 1170 requires the FPPC to redact the signature, telephone number, email address, and mailing address of the filer from SEIs posted on the FPPC website.
- AB 1170 permits the filer’s residential address to be redacted in specific situations from the copy of the SEI posted on the FPPC website upon the filer's request.
- AB1170 codifies FPPC regulation permitting the redaction of personally identifying information about family members on a current or former elected officer’s SEI posted on the FPPC website, if there is a reasonable privacy concern and upon the request of the filer.

Redaction of Statements - What’s the Same

- FPPC will continue to redact
    - The address, telephone number, and signature block of the elected official’s statement

AB1170 – Retention of Statements Changes to Existing Law

Retention of Statements – What's Changed?

- Existing law requires filing officers to retain certain reports and statements filed by paper for 2 years in paper format before converting those filings to electronic or other specified formats.
- What's Changed? AB 1170 authorizes filing officers to retain reports and statements filed by paper in electronic or other specified formats immediately upon receiving those reports or statements.

Retention of Statements – What's the Same?

- Seven years for originals
- Four years for copies

AB1170 – FPPC Online Posting

What's Staying the Same?

- 87505 – Website Notification Requirement
  - Each city clerk who maintains an Internet Web site shall post on that Internet Web site a notification that includes all of the following:
  - A list of the elected officers identified in Section 87200 who file statements of economic interests with that city clerk pursuant to Section 87500.
  - A statement that copies of the statements of economic interests filed by the 87200 elected officers may be obtained by visiting the offices of the Commission or that city clerk. The statement shall include the physical address for the Commission's office and the city clerk's office or the county clerk's office.
  - A link to the Commission's Internet website and a statement that SEIs for some state and local government agency elected officers may be available in an electronic format on the Commission's website.

What's Changed?

- FPPC posting elected 87200 Filer statements filed via FPPC's e-filing system
- Current FPPC policy is to post elected officials 87200 statements on the FPPC's website via Regulation.
  - The decision of whether to post the Form 700s of additional Commission Filers on the FPPC website is under consideration. Filing officials will be notified of any change to which Form 700s are posted.

NOTIFICATION GUIDELINES

ANNUAL FILING DEADLINES

SUMMARY

Depending upon the office, certain filers are required to file their Annual SEI March 1 or April 1

MARCH 1

- Elected state officers
- Members of the Legislature
- CalSTRS and CalPERS Board Members
- Judges and Court Commissioners
- Members of State Board and Commissions under Section 87200

APRIL 1

- County and City officials under Section 87200
- Multi-county officials
- State and local officials and employees designated in a conflict of interest code (COIC)

*No deadline extensions unless a filer is serving in active military duty.

If a due date falls on a weekend or an official state holiday, the due date is the next regular business day.

Pre-Filing Notifications
Annual SEI

NOTIFICATION GUIDELINES

- Notify at least 30 days prior to annual deadline*
- Notify by email, mail or in person
- Provide disclosure categories to code filers
- Email notifications should link
  - Form 700,
  - Reference Pamphlet,
  - FAQs
  - Gift Fact Sheets (on the FPPC website)

AB1170 – WHAT DOES THIS MEAN?

- 87200 filers required to file their statements electronically through the FPPC's e-filing system starting January 1, 2025
- FPPC's SEI Unit will be sending the pre-filing notifications to the 87200 filers
- Filing Officials confirm through FPPC's e-filing system that the correct positions are listed

ASSUMING LEAVING & CANDIDATE STATEMENTS

Assuming Office Statements

Summary

- Filed within 30 days of starting a new job
  - A newly appointed official or newly employed in a position designated in a COIC, the assuming office date is the date they were sworn in or otherwise authorized to serve in the position
  - If they are a newly elected official, their assuming office date is the date they were sworn in
- Period covered is the prior 12 months

Assuming office statement NOT required if...

- Filer completes term of office and begins a new term of the same office withing 30 days
- Filer is 87200 filer and assumes other 87200 position in same jurisdiction with 45 days
- Filer moves from one designated position to another designated position within the same agency with no break in service

Note: No annual statement is required in March/April of the following year if office assumed between October 1-December 31 AND filed an assuming office within 30 days of assuming the position

Leaving Office Statements

Summary

- Filed within 30 days of leaving the position
- Period covered is January 1 – last day of work
- Combined leaving and annual statements may be filed by annual deadline or by the last day of work, whichever comes first

Leaving office statement NOT required if…

- Filer completes term of office and begins a new term of the same office within 30 days
- Filer is 87200 filer and assumes other 87200 position in same jurisdiction with 45 days.
- Filer moves from one designated position to another designated position within the same agency without a break in service. This is the case in most instances. See FPPC Regulation 18735 for more information

Candidate Statements

Summary

- File Candidate SEI by no later than the final declaration of candidacy deadline
- Effective January 1, 2025, candidates specified in Section 87200 are required to file their Candidate SEI electronically using the FPPC's E-Filing system
  - Filing officials will input qualified 87200 candidate information in the FPPC's system for filer to submit their Candidate SEI electronically with FPPC
  - No paper or local data exchange for 87200 Candidate statements effective January 1, 2025

Candidate statement NOT required if...

- Filed an assuming office annual statement for the same jurisdiction **within 60 days** before filing a declaration of candidacy or other nomination documents

SAMPLE LOG

NAME	ANNUAL	ASSUMING	LEAVING	DAYS LATE	AMENDMENT
Anderson, William	04/02/XX				
Brown, Sharon	n/a	10/15/XX			
Carson, David	03/26/XX		09/28/XX		
Davies, Gary	04/02/XX			Non-Filer	05/25/XX
Ford, Cheryl					
Iverson, Steven	01/28/XX		10/01/XX		
Lawson, John	n/a	02/14/XX			
Moore, Roy	Non-Filer				
Nelson, Cheryl	04/11/XX			10	Late-Filer

REVIEWING STATEMENTS & AMENDMENTS

Walkthrough the Form 700:
Cover Page, Schedules A-E, and Amendments

Form 700 Facial Review

A facial review is required for all statements maintained by the agency to ensure the cover page is accurate. Look for:

- Name and address of filer
- Period covered
- Type of statement
- Summary completed
- Schedules attached
- Original signature

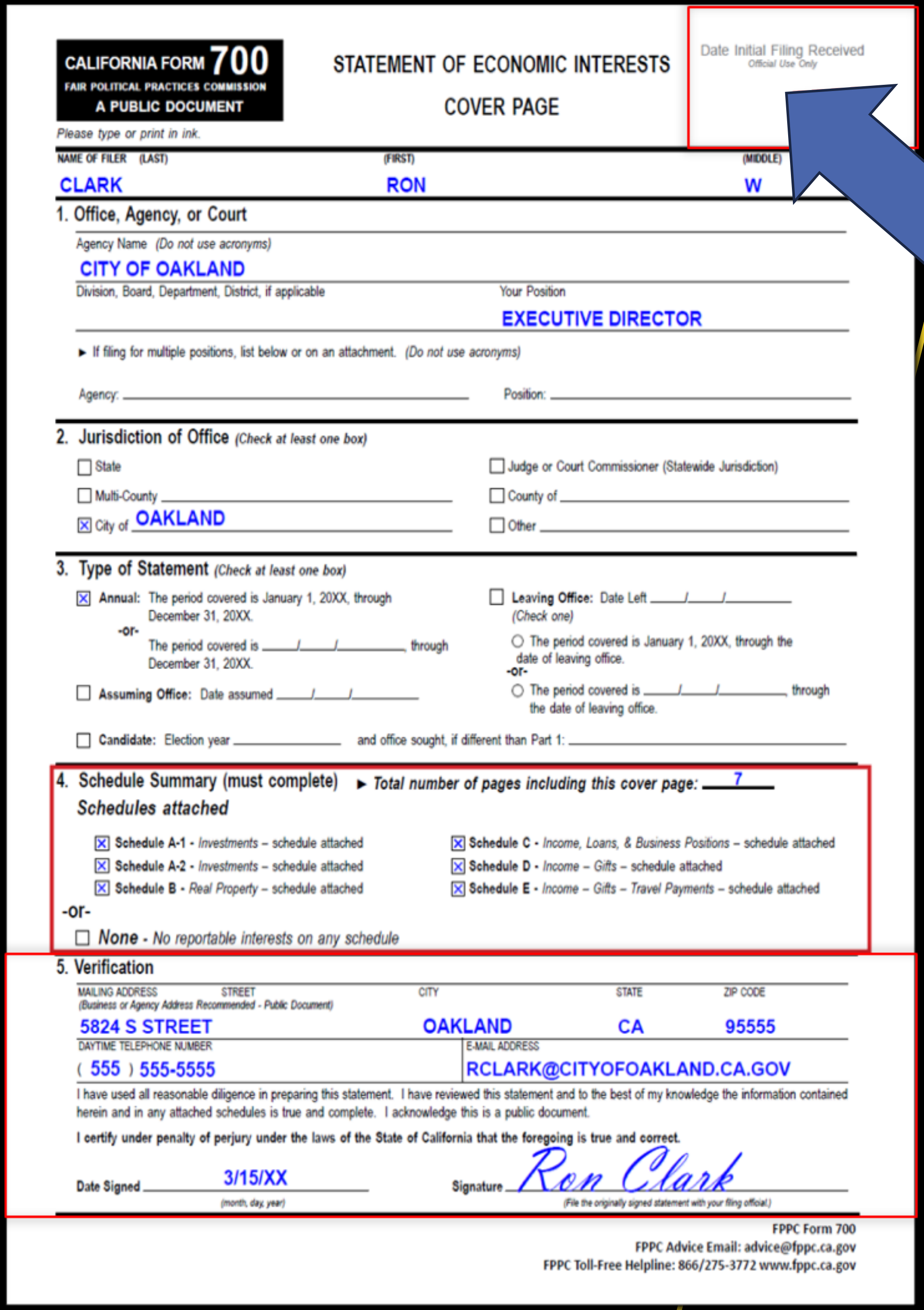
Form 700 Full Review

A full review of the entire form is required on:

- 20% of all timely filed statements – half being selected at random
- Statements that do not pass a facial review
- 100% late statements

Filing officers should:

- Use review guide/amendment request form on FPPC Website
- Compare with filer's disclosure category



CALIFORNIA FORM 700
FAIR POLITICAL PRACTICES COMMISSION
A PUBLIC DOCUMENT

STATEMENT OF ECONOMIC INTERESTS
COVER PAGE

Date Initial Filing Received
Official Use Only

Please type or print in ink.

NAME OF FILER (LAST)	(FIRST)	(MIDDLE)
CLARK	RON	W

1. Office, Agency, or Court

Agency Name *(Do not use acronyms)*
CITY OF OAKLAND

Division, Board, Department, District, if applicable

Your Position
EXECUTIVE DIRECTOR

► 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 OAKLAND
- ☐ Judge or Court Commissioner (Statewide Jurisdiction)
- ☐ County of ______
- ☐ Other ______

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

- ☒ **Annual:** The period covered is January 1, 20XX, through December 31, 20XX.
  -or-
  The period covered is __/__/__ through December 31, 20XX.
- ☐ **Assuming Office:** Date assumed __/__/__
- ☐ **Leaving Office:** Date Left __/__/__
  (Check one)
  ○ The period covered is January 1, 20XX, through the date of leaving office.
  -or-
  ○ The period covered is __/__/__ through the date of leaving office.
- ☐ **Candidate:** Election year ______ and office sought, if different than Part 1: ______

4. Schedule Summary (must complete) ► *Total number of pages including this cover page:* 7

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 (Business or Agency Address Recommended - Public Document)	CITY	STATE	ZIP CODE
5824 S STREET	OAKLAND	CA	95555

DAYTIME TELEPHONE NUMBER	E-MAIL ADDRESS
(555) 555-5555	RCLARK@CITYOFOAKLAND.CA.GOV

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 3/15/XX *(month, day, year)*

Signature Ron Clark *(File the originally signed statement with your filing official.)*

FPPC Form 700
FPPC Advice Email: advice@fppc.ca.gov
FPPC Toll-Free Helpline: 866/275-3772 www.fppc.ca.gov

COVER PAGE OVERVIEW

- REMEMBER TO DATE STAMP STATEMENTS AS THEY ARE RECEIVED
- FILER'S BUSINESS OR AGENCY ADDRESS IS OKAY AND RECOMMENDED
- AN EXCEL FORMATTED 700 IS AVAILABLE ONLINE.*

* File a Form 700 > Form 700-Excel Format

Schedule A-1

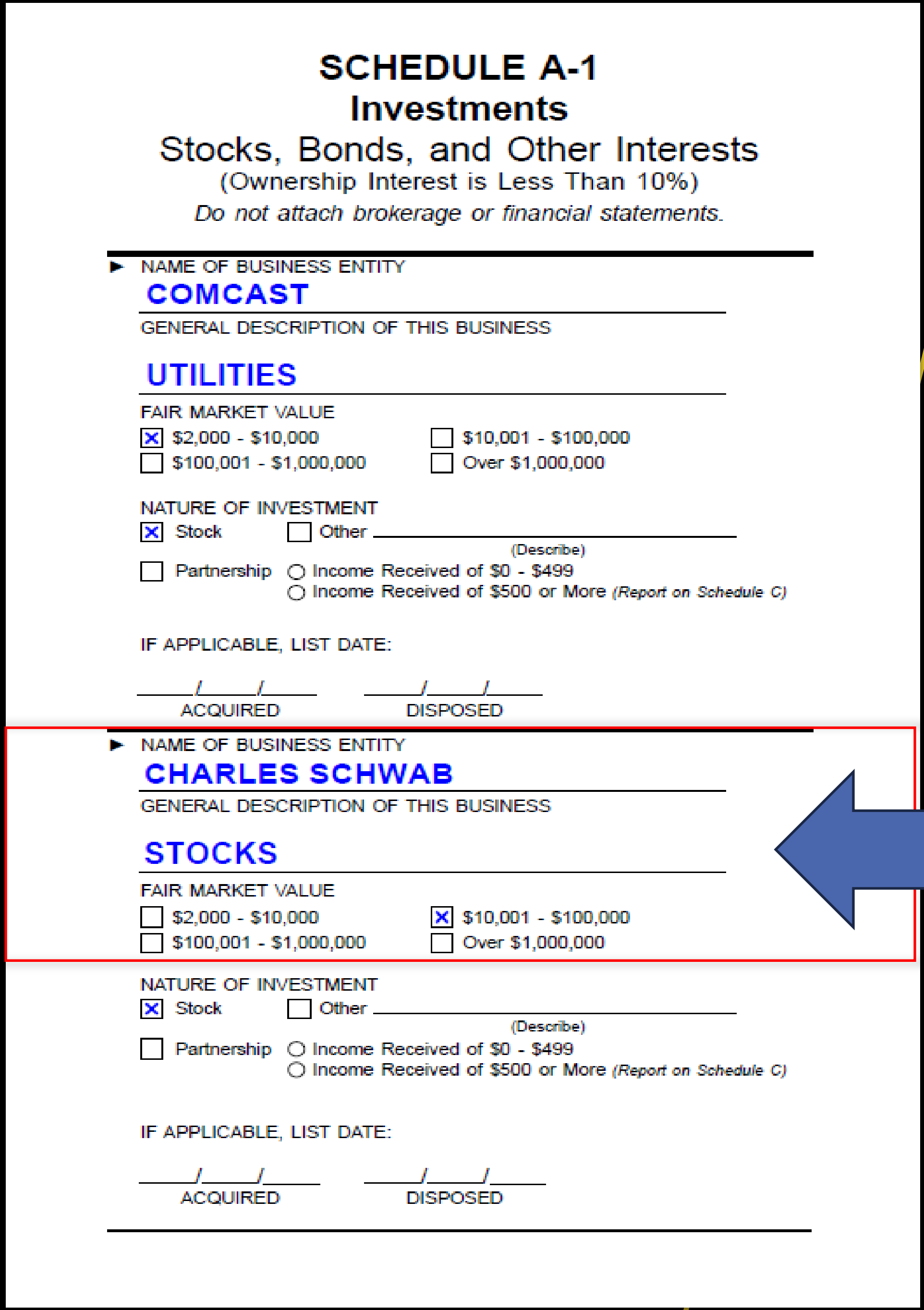
Investments: Stocks, Bonds, & Other Interests (ownership less than 10%)

Common Reportable Interests:

- Stocks and partnerships

Common Errors:

- Fair market value not reported
- Managed account reported instead of itemized stocks
- Financial statement attached instead of completed schedules
- Partnership reported on Schedule A-1, but income not reported on Schedule C



SCHEDULE A-1
Investments
Stocks, Bonds, and Other Interests
(Ownership Interest is Less Than 10%)
Do not attach brokerage or financial statements.

▶ NAME OF BUSINESS ENTITY
COMCAST
GENERAL DESCRIPTION OF THIS BUSINESS
UTILITIES
FAIR MARKET VALUE
[x] $2,000 - $10,000 [ ] $10,001 - $100,000
[ ] $100,001 - $1,000,000 [ ] Over $1,000,000
NATURE OF INVESTMENT
[x] Stock [ ] Other ____________ (Describe)
[ ] Partnership ○ Income Received of $0 - $499
○ Income Received of $500 or More *(Report on Schedule C)*
IF APPLICABLE, LIST DATE:
__/__/__ ACQUIRED __/__/__ DISPOSED

▶ NAME OF BUSINESS ENTITY
CHARLES SCHWAB
GENERAL DESCRIPTION OF THIS BUSINESS
STOCKS
FAIR MARKET VALUE
[ ] $2,000 - $10,000 [x] $10,001 - $100,000
[ ] $100,001 - $1,000,000 [ ] Over $1,000,000
NATURE OF INVESTMENT
[x] Stock [ ] Other ____________ (Describe)
[ ] Partnership ○ Income Received of $0 - $499
○ Income Received of $500 or More *(Report on Schedule C)*
IF APPLICABLE, LIST DATE:
__/__/__ ACQUIRED __/__/__ DISPOSED

SCHEDULE A-1 OVERVIEW

COMMON ERRORS:

- FILER MUST DISCLOSE THE NAME OF THE BUSINESS ENTITY IN WHICH THEY HAVE STOCKS
- FILER MAY NOT NAME INVESTMENT FIRM THAT HOLDS THE STOCK PORTFOLIO – MUST LIST THE INDIVIDUAL STOCKS
- NO ACRONYMS UNLESS COMMONLY KNOWN (E.G., AT&T)

Schedule A-2

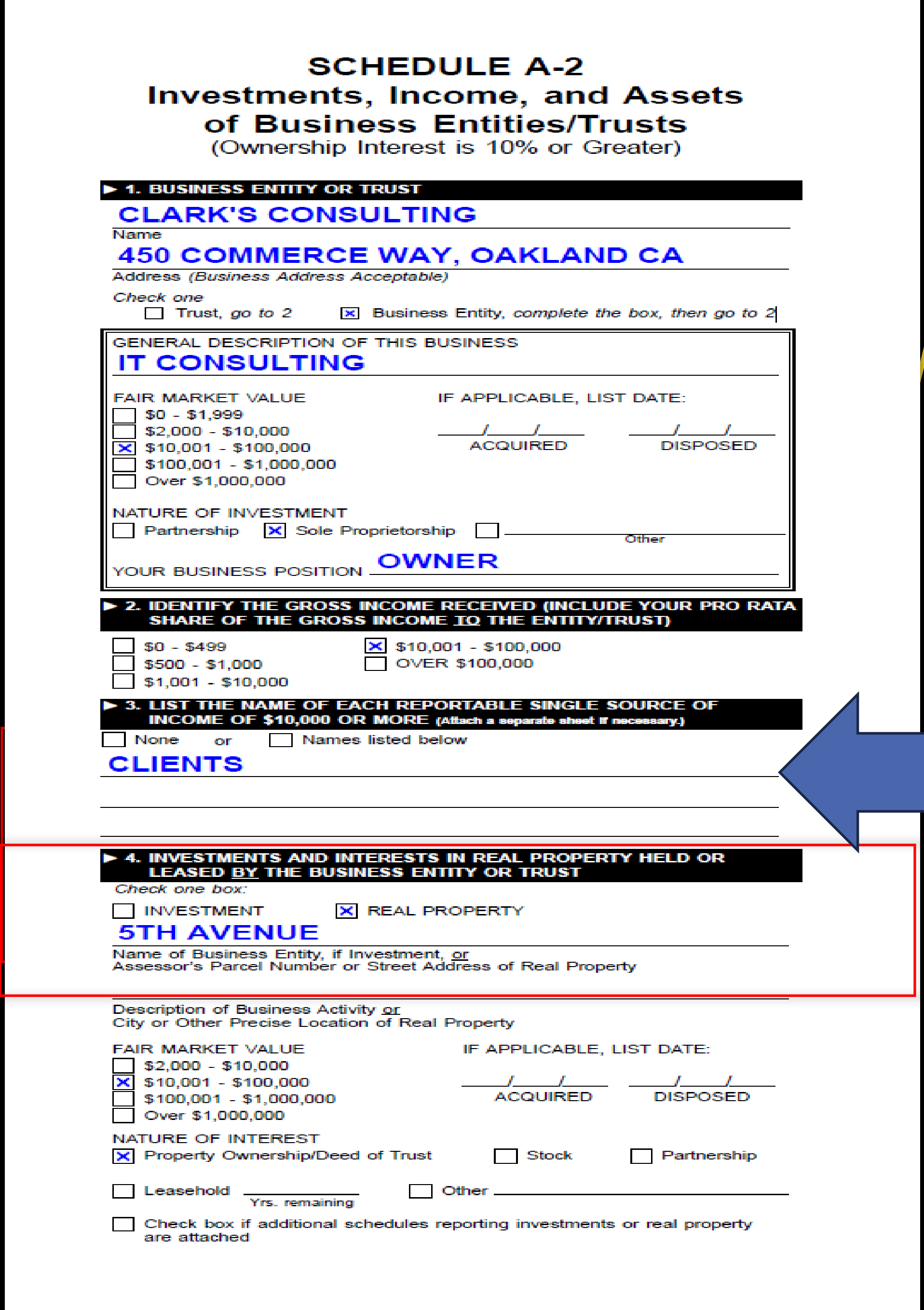
Investments: Income & Assets of Business Entities/Trusts (ownership 10% or greater)

Common Reportable Interests:

- Filer's spouse's/registered domestic partner's business
- Trust holdings:
  - Real property
  - Investments - Stock

Common Errors:

- Failure to complete nature of investment
- Failure to include business position
- Failure to check the box "none" or include the names of the single sources of income of $10,000 or more in Part 3



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

► 1. BUSINESS ENTITY OR TRUST

CLARK'S CONSULTING
Name

450 COMMERCE WAY, OAKLAND CA
Address (Business Address Acceptable)

Check one
☐ Trust, go to 2 ☒ Business Entity, complete the box, then go to 2

GENERAL DESCRIPTION OF THIS BUSINESS
IT CONSULTING

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:
___/___/___ ACQUIRED ___/___/___ DISPOSED

NATURE OF INVESTMENT
☐ Partnership ☒ Sole Proprietorship ☐ ________ Other

YOUR BUSINESS POSITION OWNER

► 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 or ☐ Names listed below

CLIENTS

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

Check one box:
☐ INVESTMENT ☒ REAL PROPERTY

5TH AVENUE
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:
___/___/___ ACQUIRED ___/___/___ DISPOSED

NATURE OF INTEREST
☒ Property Ownership/Deed of Trust ☐ Stock ☐ Partnership

☐ Leasehold ________ Yrs. remaining ☐ Other ________

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

SCHEDULE A-2
OVERVIEW

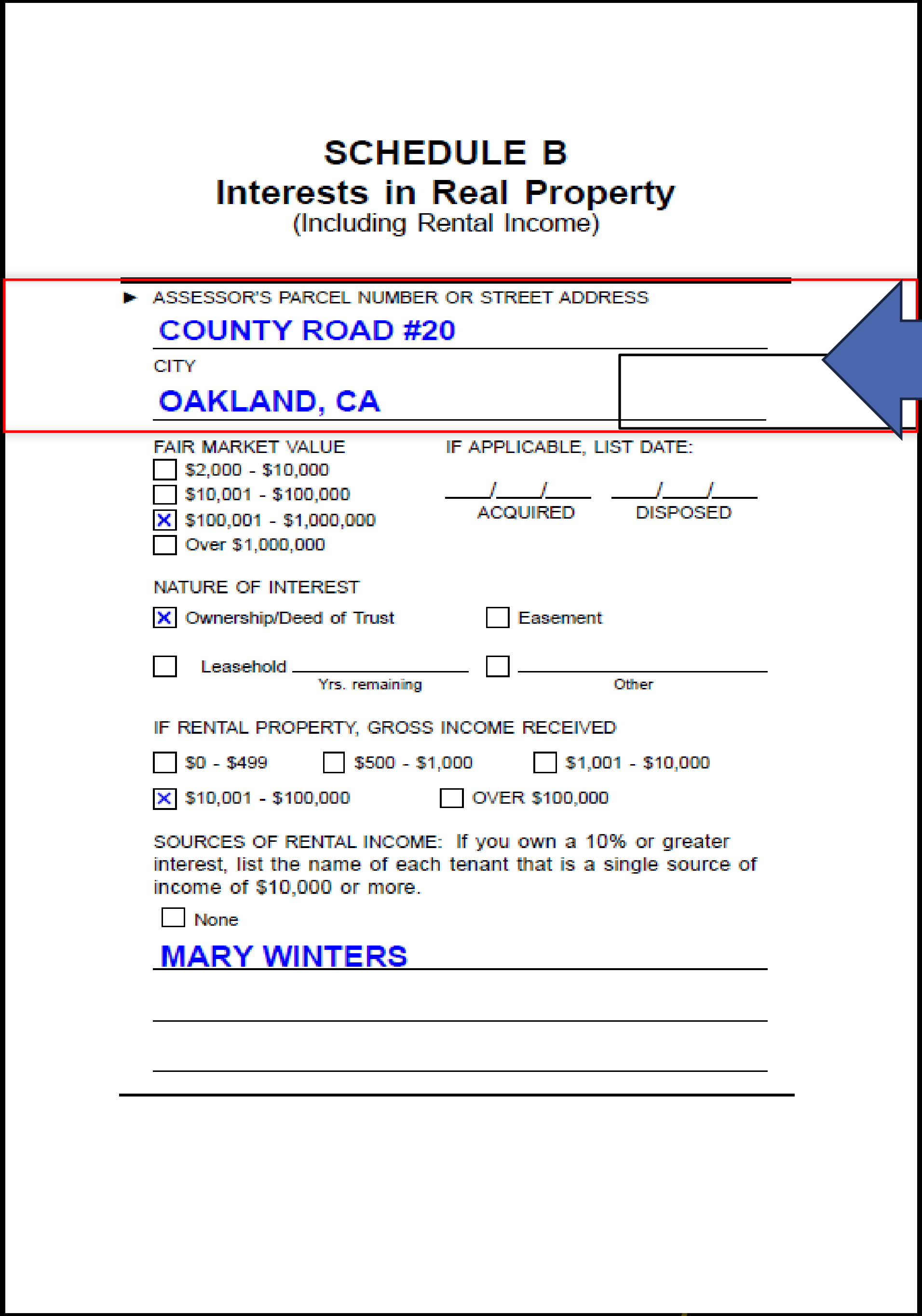
COMMON ERRORS:

- INDEPENDENT CONTRACTORS OR SELF-EMPLOYED INCOME REPORTED ON SCHEDULE C, NOT A-2 AS REQUIRED
- FILER MUST LIST THE SPECIFIC NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF $10,000 OR MORE, OR CHECK THE “NONE” BOX
- FILER MUST IDENTIFY THE PRECISE LOCATION OF PROPERTY HELD BY THE BUSINESS OR TRUST (COMPLETE PHYSICAL ADDRESS OR ASSESSOR’S PARCEL NUMBER)

Schedule B

Interests in Real Property

Common Reportable Interests:	Common Errors:
• Income property and vacant land • (The filer's personal residence is generally not reportable)	• Precise location not reported • Sources of rental income not reported • Income from sale of real property sold during the reporting period not reported on Schedule C


SCHEDULE B
Interests in Real Property
(Including Rental Income)

► ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS
COUNTY ROAD #20
CITY
OAKLAND, CA

FAIR MARKET VALUE
- [ ] $2,000 - $10,000
- [ ] $10,001 - $100,000
- [x] $100,001 - $1,000,000
- [ ] Over $1,000,000

IF APPLICABLE, LIST DATE:
___/___/___ ACQUIRED
___/___/___ DISPOSED

NATURE OF INTEREST
- [x] Ownership/Deed of Trust
- [ ] Easement
- [ ] Leasehold ______ Yrs. remaining
- [ ] ______ Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED
- [ ] $0 - $499
- [ ] $500 - $1,000
- [ ] $1,001 - $10,000
- [x] $10,001 - $100,000
- [ ] OVER $100,000

SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of $10,000 or more.
- [ ] None

MARY WINTERS

SCHEDULE B OVERVIEW

COMMON ERRORS:

- FAILING TO LIST THE INDIVIDUAL SOURCES OF RENTAL INCOME OF $10,000 OR MORE
- FILERS MAY NOT LIST “TENANTS” AS THE SOURCES OF INCOME
- FILER MUST IDENTIFY THE PRECISE LOCATION (COMPLETE PHYSICAL ADDRESS OR ASSESSOR’S PARCEL NUMBER)
- DATE DISPOSED NOT LISTED IF PROPERTY SOLD DURING REPORTING PERIOD

Schedule C

Income & Business Positions

Common Reportable Interests:

- 50% of spouse's or registered domestic partner's income
- Proceeds from any sale, e.g., home or car, if considered a reportable interest (but not if proceeds went directly into another home loan or if car was traded in for another car at the dealer)

Common Errors:

- Name of spouse's or registered domestic partner's business reported on Schedule C, instead of Schedule A-2
- Name of spouse's or registered domestic partner's employer not reported
- Gross income not reported

SCHEDULE C OVERVIEW

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

CALIFORNIA FORM 700
FAIR POLITICAL PRACTICES COMMISSION

Name
RON CLARK

▶ 1. INCOME RECEIVED

NAME OF SOURCE OF INCOME
MITCHELL BURNHAM

ADDRESS *(Business Address Acceptable)*
784 SEASIDE DR, SAN FRANCISCO, CA

BUSINESS ACTIVITY, IF ANY, OF SOURCE

YOUR BUSINESS POSITION

GROSS INCOME RECEIVED
- ☐ No Income - Business Position Only
- ☐ $500 - $1,000
- ☐ $1,001 - $10,000
- ☐ $10,001 - $100,000
- ☒ OVER $100,000

CONSIDERATION FOR WHICH INCOME WAS RECEIVED
- ☐ Salary
- ☐ Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.)
- ☐ Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.)
- ☒ Sale of RENTAL HOME *(Real property, car, boat, etc.)*
- ☐ Loan repayment
- ☐ Commission or ☐ Rental Income, *list each source of $10,000 or more*

(Describe)
- ☐ Other

(Describe)

▶ 1. INCOME RECEIVED

NAME OF SOURCE OF INCOME
SARAH CLARK

ADDRESS *(Business Address Acceptable)*
385 BRAXTON WAY, OAKLAND, CA

BUSINESS ACTIVITY, IF ANY, OF SOURCE
CPA FIRM

YOUR BUSINESS POSITION
ACCOUNTANT

GROSS INCOME RECEIVED
- ☐ No Income - Business Position Only
- ☐ $500 - $1,000
- ☐ $1,001 - $10,000
- ☒ $10,001 - $100,000
- ☐ OVER $100,000

CONSIDERATION FOR WHICH INCOME WAS RECEIVED
- ☐ Salary
- ☒ Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.)
- ☐ Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.)
- ☐ Sale of *(Real property, car, boat, etc.)*
- ☐ Loan repayment
- ☐ Commission or ☐ Rental Income, *list each source of $10,000 or more*

(Describe)
- ☐ Other

(Describe)

COMMON ERRORS:

- INCOME FROM THE SALE OF REAL PROPERTY NOT REPORTED ON SCHEDULE C, BUT SALE IS ON SCHEDULE B
- FILER MUST IDENTIFY THE PRECISE LOCATION (COMPLETE PHYSICAL ADDRESS OR ASSESSOR'S PARCEL NUMBER)
- FILER MUST CHECK THE BOX FOR THE CONSIDERATION FOR WHICH INCOME WAS RECEIVED

Schedule D

Income: Gifts

Common Reportable Interests:

- Tickets to entertainment events
- Gift cards, discounts, and meals

Common Errors:

- Value of gift not reported
- Date gift was received not reported
- Description of gift not reported

* The gift limit for 2021-2022 was $520. The gift limit for 2023-2024 is $590.

SCHEDULE D
Income – Gifts

► NAME OF SOURCE *(Not an Acronym)*
PRIME CONSTRUCTION
ADDRESS *(Business Address Acceptable)*
18888 MCKEE ST, ROCKLIN, CA
BUSINESS ACTIVITY, IF ANY, OF SOURCE
CONSTRUCTION MANAGEMENT

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
11 / 21 / XX	$ 250.00	NBA TICKETS
12 / 15 / XX	$ 65.00	FRUIT BASKET
___/___/___	$	

► NAME OF SOURCE *(Not an Acronym)*
ACF
ADDRESS *(Business Address Acceptable)*
15 OAK ST, WEST SACRAMENTO, CA
BUSINESS ACTIVITY, IF ANY, OF SOURCE
REAL ESTATE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
05 / 15 / XX	$ 45.00	DINNER
08 / 20 / XX	$ 350.00	PAINTING
___/___/___	$	

SCHEDULE D OVERVIEW

COMMON ERRORS:

- VALUE OF GIFT IS NOT REPORTED
- DATE GIFT RECEIVED NOT REPORTED
- DESCRIPTION OF GIFT NOT REPORTED
- ACRONYMS ARE NOT ALLOWED UNLESS IT IS A COMMON ONE THAT ANY REASONABLE PERSON UNDERSTANDS, E.G., AT&T

Schedule E

Income: Gifts, Travel Payments

Common Reportable Interests:

- Third party travel payments (not from the filer’s agency)

Common Errors:

- Value of payment not reported
- Date(s) of travel not reported
- Description of travel not reported
- Gift or income box not checked*

* When reporting income, the burden is on the official to determine whether they have provided equal or greater consideration for the payment.

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

► NAME OF SOURCE *(Not an Acronym)*
NATIONAL MANPOWER FOUNDATION

ADDRESS *(Business Address Acceptable)*
1400 MARKET STREET

CITY AND STATE
SAN DIEGO, CA 97625

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

DATE(S): ___/___/___ - ___/___/___ *(If gift)* AMT: $ 725.00

► MUST CHECK ONE: ☐ Gift -or- ☒ Income

○ Made a Speech/Participated in a Panel

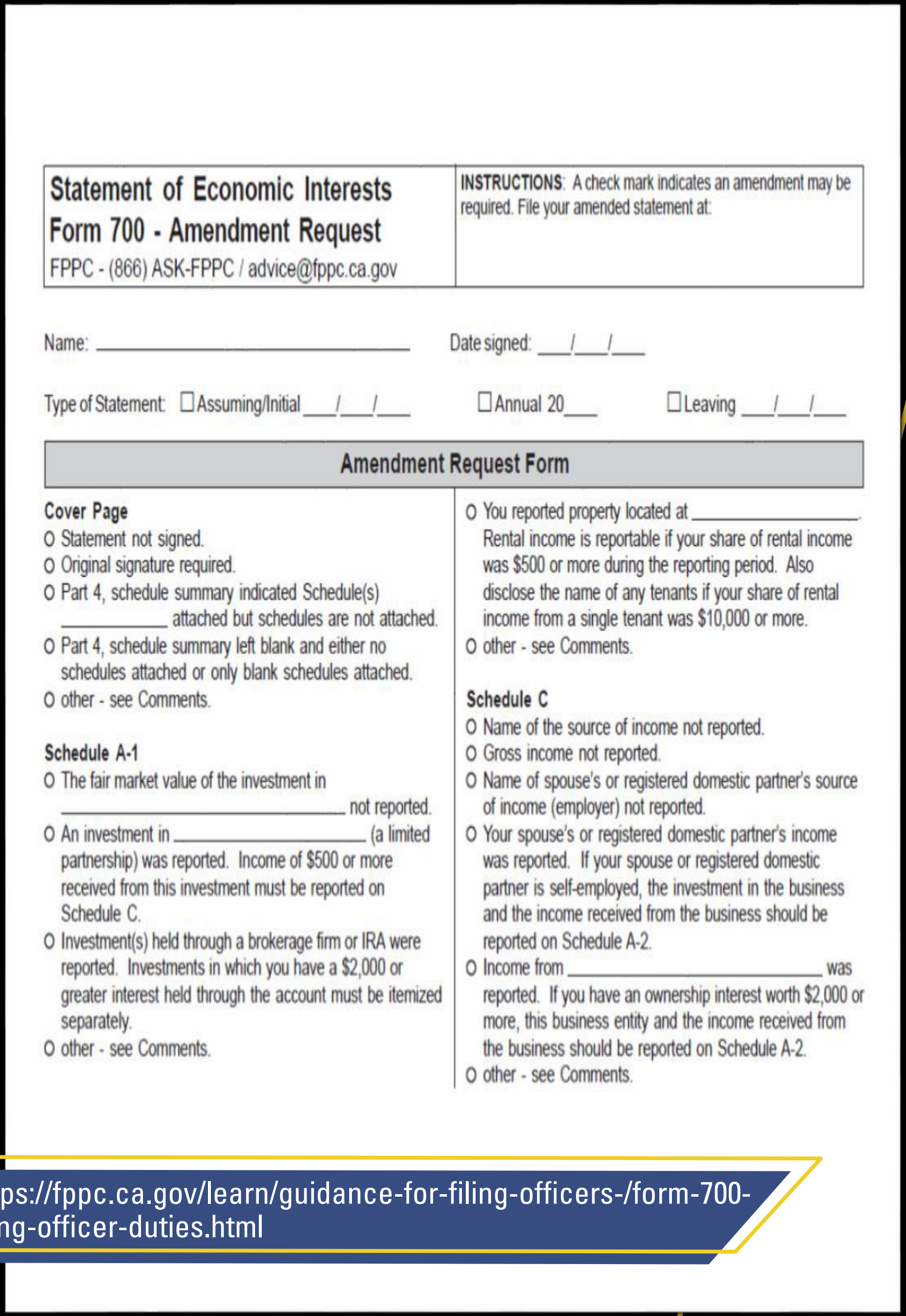
● Other - Provide Description FLIGHT, ROOM AND BOARD

► If Gift, Provide Travel Destination

SCHEDULE E OVERVIEW

COMMON ERRORS:

- VALUE OF PAYMENT NOT REPORTED
- DATE OF TRAVEL NOT REPORTED
- NO DESCRIPTION PROVIDED IF OTHER SELECTED UNDER GIFT OR INCOME



Statement of Economic Interests
Form 700 - Amendment Request
FPPC - (866) ASK-FPPC / advice@fppc.ca.gov

INSTRUCTIONS: A check mark indicates an amendment may be required. File your amended statement at:

Name: ______________________ Date signed: ___/___/___

Type of Statement: ☐ Assuming/Initial ___/___/___ ☐ Annual 20___ ☐ Leaving ___/___/___

Amendment Request Form

Cover Page
- O Statement not signed.
- O Original signature required.
- O Part 4, schedule summary indicated Schedule(s) __________ attached but schedules are not attached.
- O Part 4, schedule summary left blank and either no schedules attached or only blank schedules attached.
- O other - see Comments.

Schedule A-1
- O The fair market value of the investment in __________________ not reported.
- O An investment in ______________ (a limited partnership) was reported. Income of $500 or more received from this investment must be reported on Schedule C.
- O Investment(s) held through a brokerage firm or IRA were reported. Investments in which you have a $2,000 or greater interest held through the account must be itemized separately.
- O other - see Comments.

- O You reported property located at ______________. Rental income is reportable if your share of rental income was $500 or more during the reporting period. Also disclose the name of any tenants if your share of rental income from a single tenant was $10,000 or more.
- O other - see Comments.

Schedule C
- O Name of the source of income not reported.
- O Gross income not reported.
- O Name of spouse's or registered domestic partner's source of income (employer) not reported.
- O Your spouse's or registered domestic partner's income was reported. If your spouse or registered domestic partner is self-employed, the investment in the business and the income received from the business should be reported on Schedule A-2.
- O Income from ____________________ was reported. If you have an ownership interest worth $2,000 or more, this business entity and the income received from the business should be reported on Schedule A-2.
- O other - see Comments.

https://fppc.ca.gov/learn/guidance-for-filing-officers-/form-700-filing-officer-duties.html

AMENDMENT OVERVIEW

- NOTIFY FILERS WHO HAVE FILED INCOMPLETE OR INCORRECT STATEMENTS
- AMENDMENTS MAY BE FILED AT ANY TIME
- ONLY NEED TO COMPLETE THE SCHEDULE OF WHICH HAS THE ERROR OR OMISSION
- NO FINES FOR FILING AMENDMENTS
- THE AMENDMENT DOES NOT REPLACE THE ORIGINAL FILING. IT IS SIMPLY RETAINED WITH IT
- 87200 FILERS MUST FILE AMENDMENTS ELECTRONICALLY USING THE FPPC'S E-FILING SYSTEM EFFECTIVE JANUARY 1, 2025

REQUEST GUIDE:

- YOU ARE NOT REQUIRED TO CONDUCT AN INVESTIGATION WHEN REVIEWING STATEMENTS

PUBLIC ACCESS

Form 700 Public Access

GOVERNMENT CODE SECTION 81008

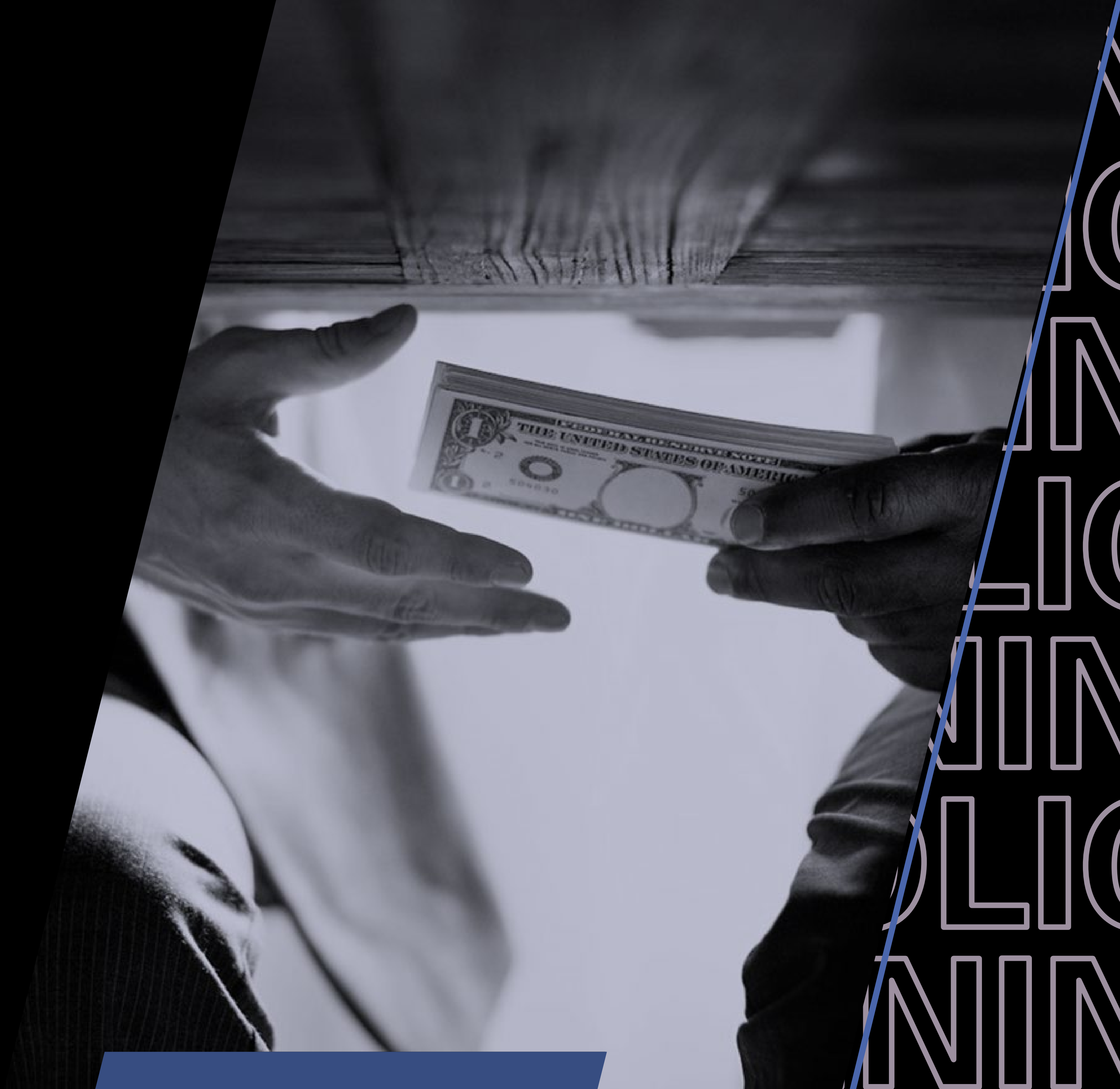
- All Form 700's are public documents
- Must be available during regular business hours no later than second business day after receipt
- No conditions on persons seeking access (like requesting an ID or email)
- May not charge more than 10 cents per page for copies (may charge a $5 retrieval fee for statements five or more years old
- Must provide an un-redacted copy if requested (NO EXCEPTIONS)

Website Notification

For FPPC Filers:

- Cities and counties must post a notification that includes all of the following:
  - List of elected officers' names and positions
  - Physical addresses for the FPPC and the city or county clerk's office
  - A link to the FPPC's website with a statement that some Form 700's may be available in electronic format

FINING
POLICY



To Fine or Not to Fine

Only for originals maintained by agency

IF YOU FINE:

- Be impartial and have written guidelines
- Assess fine AFTER statement is filed
- $10 per day, up to a maximum of $100
- Do no assess fines on filers whose statements are filed directly with the FPPC (you're not their filing officer)

* Fining is optional unless you've sent a specific written notice

Changes to Fining Late Form 700's from Recent Legislation
SB 29 (2023)

Fines are required to be waived under these circumstances under Section 91013 (SB 29)

HOSPITALIZATION

- A person could not timely file the statement or report due to them being seriously ill or hospitalized; or

FPPC'S POLITICAL REFORM EDUCATION PROGRAM

- A person filed the late statement and completed the Commission's Political Reform Education Program (PREP) pursuant to Section 83116.7 for that late filing violation.
- Filing officers will receive a copy of Enforcement's No Action Closure Letter to the Respondent explaining the successful completion of PREP and the waiving of the filing fees

FPPC's Policy

To Waive Fines

- The FPPC will consider a request to waive the payment of late filer if the request is based on "good cause":
  - Incapacitation for medical reasons
  - Hospitalization
  - Accident involvement
  - Loss or unavailability of records
  - Other good cause as shown

To Require Fines

- The FPPC will **NOT** consider a request to waive the payment of late filer for the following reasons:
  - Vacation
  - Busy
  - Spouse/assistant error
  - Additional time needed to gather information
  - Waiting for professional assistance
  - Promise to file on time in the future
  - Accidentally misplaced
  - **No reminder given**

* You can find FPPC's Fine Guidelines at www.fppc.ca.gov

ENFORCEMENT REFERRALS

How to make an enforcement referral.

Enforcement Referrals

SUMMARY

- For statement(s) maintained by your agency
  - Send written notification to annual non-filers withing 30 or 120* days after the deadline
  - Send a second notification within 30 or 60* days after the date of the first non-filer notification
  - If the non-filer files their Form 700 after submitting the Enforcement referral, you must provide a copy to the Enforcement Division within 7 days of receiving the filing.

* Agencies with 50 or fewer use the lesser number of days

Non-Filer Notice Guidelines

For statements maintained by your agency

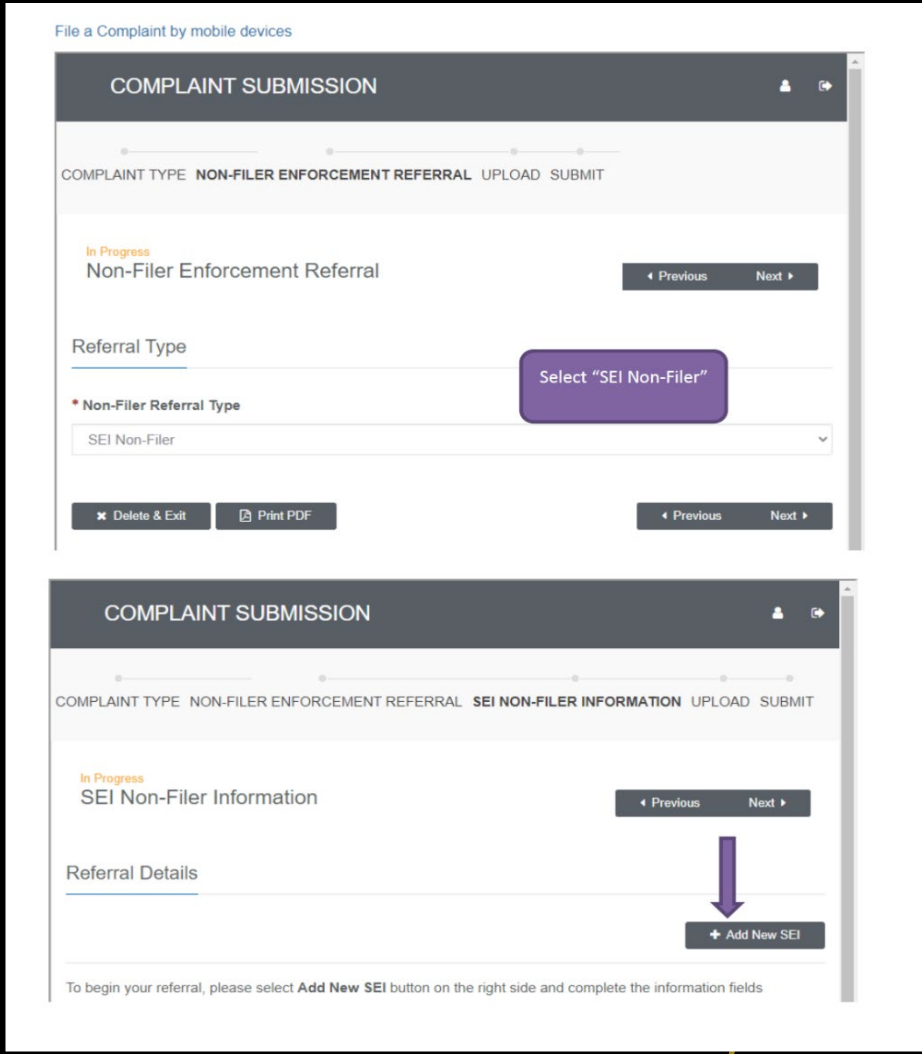
- Non-filers must be referred to FPPC's Enforcement Division
- Refer after sending at least two written notifications
- Make referral with 30 or 45* days after the second notification is sent
- Referrals must be submitted through the Enforcement Electronic Complaint System

* Agencies with 50 or fewer use the lesser number of days

What to include in a referral

Most recent address of the non-filer (if a LO non-filer referral, include any personal contact information, including information on best efforts to obtain that information.)	Leaving Office/Assuming Office date (if relevant)	Last filed statement(s)	Any previous late filings
Copy of agency conflict of interest code	Non-filer notifications	All relevant attachments and information that Enforcement needs to know	Make one phone call to the non-filer before the referral is submitted

ENFORCEMENT
NON-FILER REFERRAL



REFERRAL PROGRAM:

- INCLUDE THE FOLLOWING INFORMATION IN YOUR REFERRAL:
  - A copy of the conflict of interest code
  - A copy of their most recently filed SEI
  - Copies of the notifications sent (at least two) to the respondent
  - Up to date contact information including if you attempted to obtain personal contact information for the respondent
  - Filing officer to confirm/check that the person is still holding this position.

800 SERIES FORMS

FORM 800
CHEAT SHEET

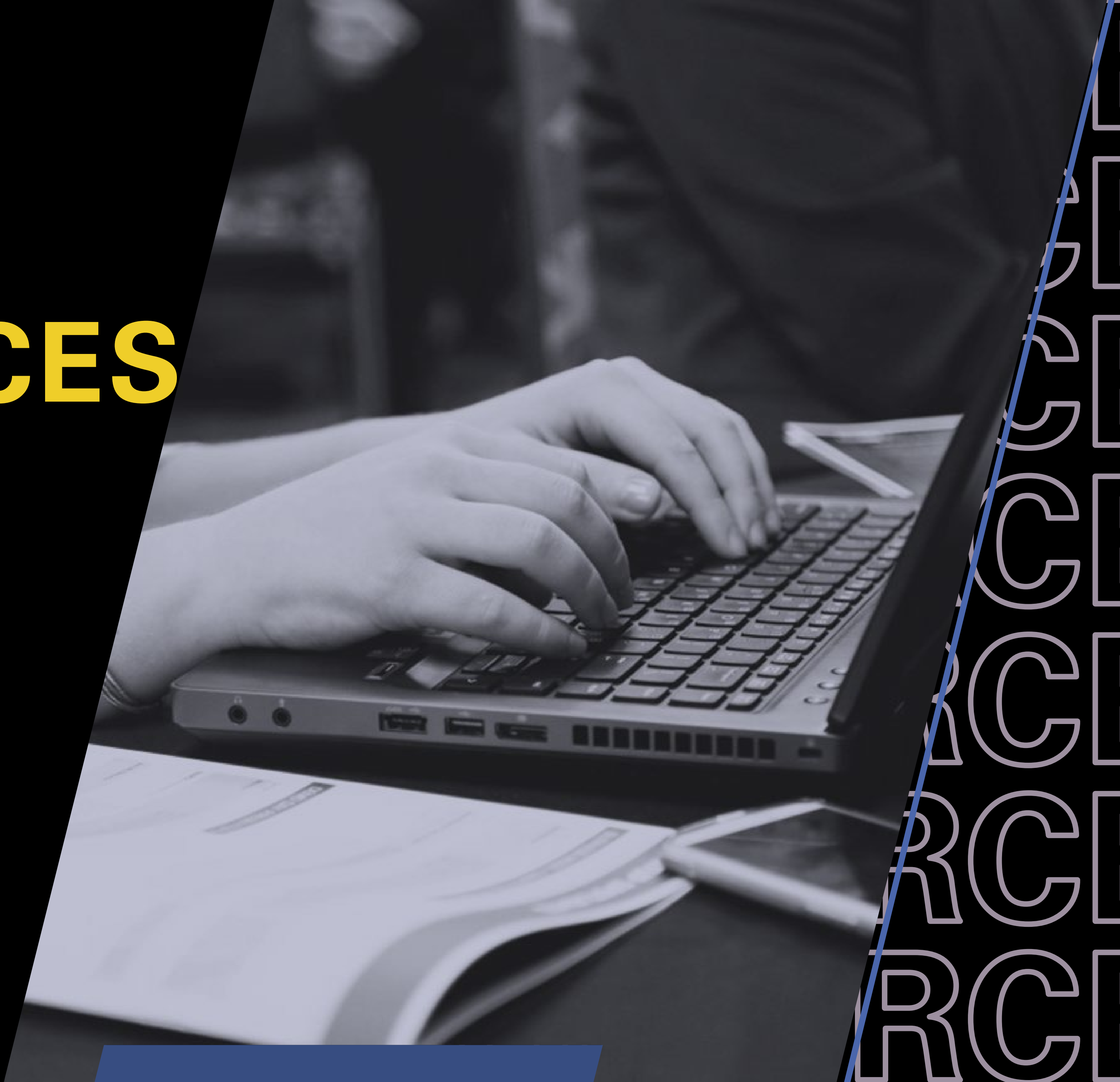
Fair Political Practices Commission
800 Series Forms

Form	Purpose	Where to File
801	**Gift to Agency**- identifies payments, such as for travel, made to the agency that provides a personal benefit to an official of the agency.	File this form with the official who maintains the agency's statements of economic interests (Form 700). The Form 801 must be posted on the agency's website. Reports may be faxed, mailed, personally delivered, or e-mailed.
802	**Ceremonial Role Events and Ticket/Pass Distribution**- identifies persons who receive admission tickets and passes and describes the public purpose for the distribution.	The Form 802 must be posted to the agency's website and email the link to the FPPC at Form802@fppc.ca.gov.
803	**Behested Payment Report**- discloses payments made at the behest of elected officials, principally for legislative, governmental, or charitable purposes.	The official's local agency must receive Form 803 within 30 days of the date the behested payment is made. Within 30 days after receipt of the report, the agency must forward a copy to the filing officer who receives the official's original campaign statements.
804	**New Positions**- identifies new positions that will make or participate in making governmental decisions on behalf of the agency and assigns Form 700 disclosure requirements.	This form is for the agency's internal use and should be maintained by the agency in the same manner as the agency's conflict-of-interest code
805	**Consultants**- identify consultants who will make or participate in making governmental decisions on behalf of the agency and assigns Form 700 disclosure requirements.	This form is for the agency's internal use and should be maintained by the agency in the same manner as the agency's conflict-of-interest code.
806	**Public Official Appointments**- discloses additional compensation that officials receive when appointing themselves to positions on committees, boards, or commissions of a public agency, special district, and joint powers agency or authority.	Each agency must post on its website a single Form 806 which lists all the paid appointed positions. When there is a change in compensation or a new appointment, Form 806 is updated to reflect the change. The form must be updated promptly as changes occur.

Note: Excel versions are available for Form 802 and Form 806.

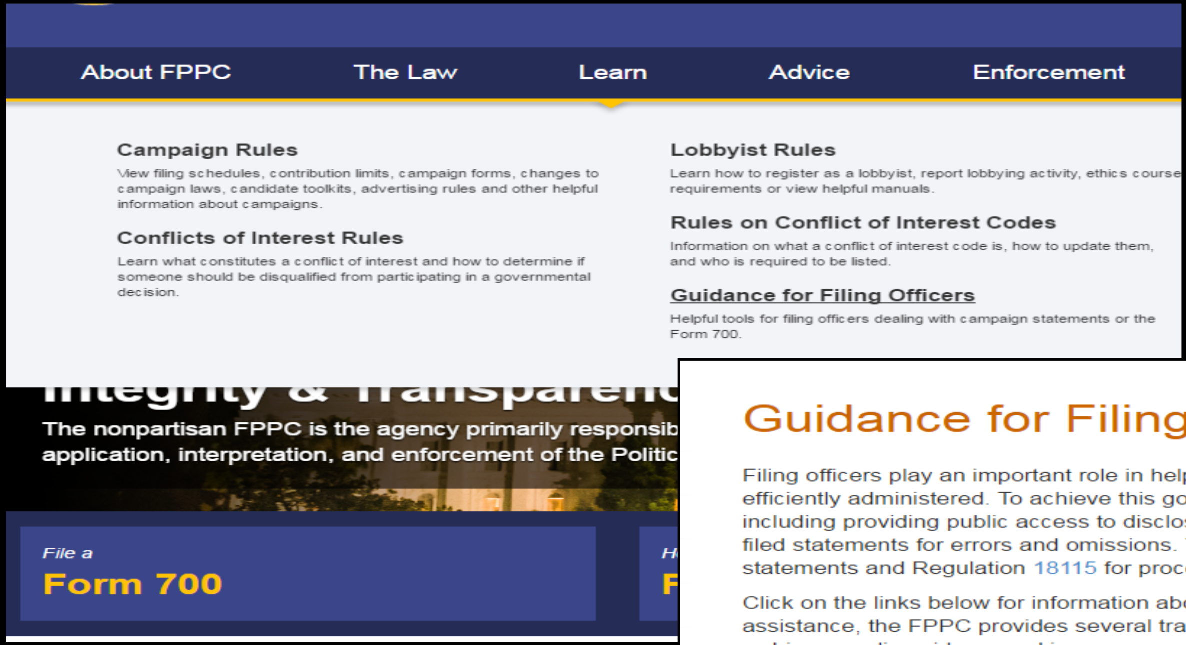
RESOURCES

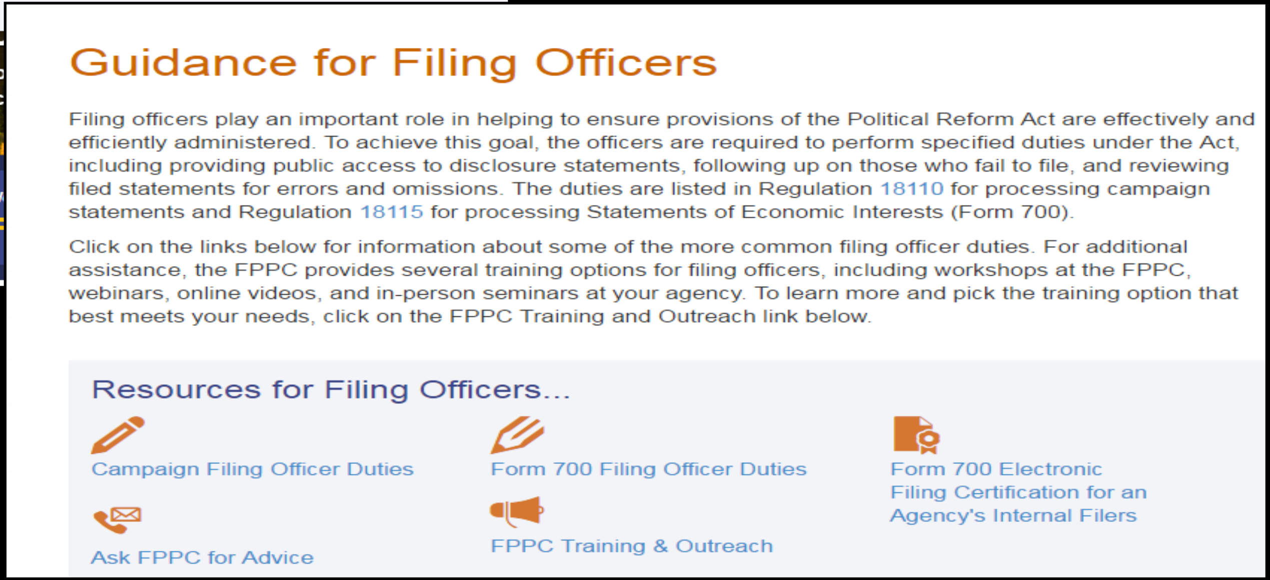
Our FPPC website and more helpful tools!

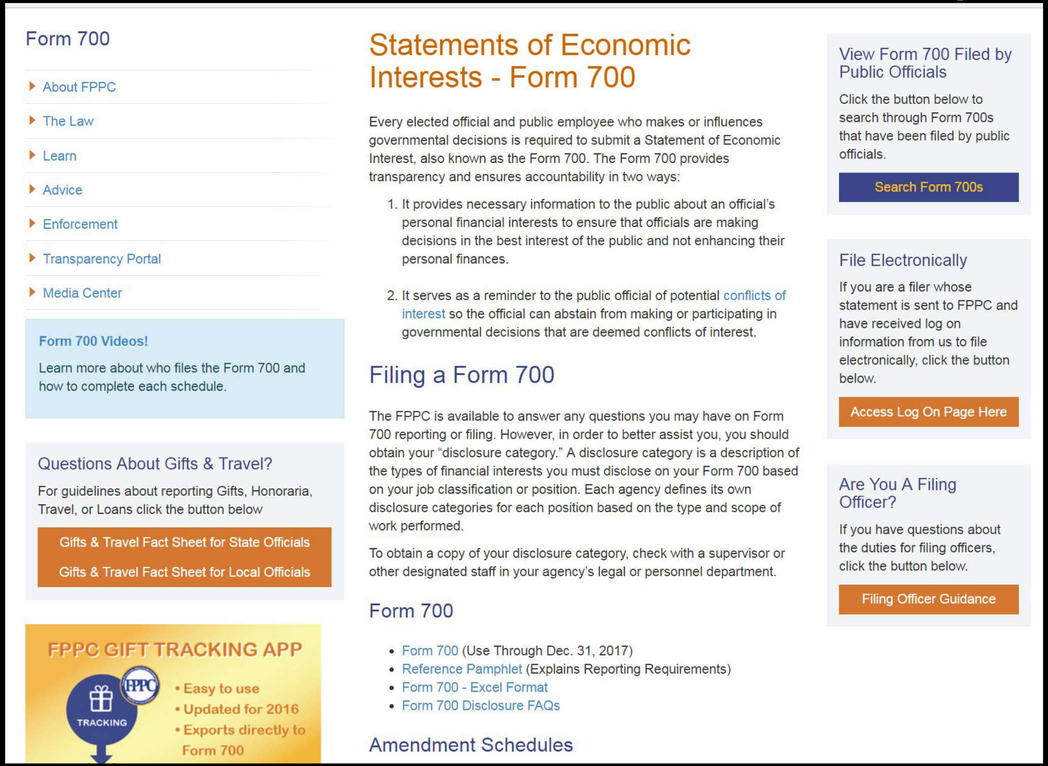


FPPC's Website

www.fppc.ca.gov







Form 700

- About FPPC
- The Law
- Learn
- Advice
- Enforcement
- Transparency Portal
- Media Center

Form 700 Videos!

Learn more about who files the Form 700 and how to complete each schedule.

Questions About Gifts & Travel?

For guidelines about reporting Gifts, Honoraria, Travel, or Loans click the button below

Gifts & Travel Fact Sheet for State Officials

Gifts & Travel Fact Sheet for Local Officials

FPPC GIFT TRACKING APP

TRACKING

• Easy to use
• Updated for 2016
• Exports directly to Form 700

Statements of Economic Interests - Form 700

Every elected official and public employee who makes or influences governmental decisions is required to submit a Statement of Economic Interest, also known as the Form 700. The Form 700 provides transparency and ensures accountability in two ways:

1. It provides necessary information to the public about an official's personal financial interests to ensure that officials are making decisions in the best interest of the public and not enhancing their personal finances.
2. It serves as a reminder to the public official of potential conflicts of interest so the official can abstain from making or participating in governmental decisions that are deemed conflicts of interest.

Filing a Form 700

The FPPC is available to answer any questions you may have on Form 700 reporting or filing. However, in order to better assist you, you should obtain your "disclosure category." A disclosure category is a description of the types of financial interests you must disclose on your Form 700 based on your job classification or position. Each agency defines its own disclosure categories for each position based on the type and scope of work performed.

To obtain a copy of your disclosure category, check with a supervisor or other designated staff in your agency's legal or personnel department.

Form 700

- Form 700 (Use Through Dec. 31, 2017)
- Reference Pamphlet (Explains Reporting Requirements)
- Form 700 - Excel Format
- Form 700 Disclosure FAQs

Amendment Schedules

View Form 700 Filed by Public Officials

Click the button below to search through Form 700s that have been filed by public officials.

Search Form 700s

File Electronically

If you are a filer whose statement is sent to FPPC and have received log on information from us to file electronically, click the button below.

Access Log On Page Here

Are You A Filing Officer?

If you have questions about the duties for filing officers, click the button below.

Filing Officer Guidance

RESOURCES FOR FILERS

- FPPC HOME PAGE > FILE A FORM 700
- FORM 700 VIDEOS
- REFERENCE PAMPHLET
- FORM 700 FAQ'S
- AMENDMENT SCHEDULES
- GIFT AND TRAVEL FACT SHEET FOR LOCAL OFFICIALS
- GIFT TRACKING APP

CONTACT INFORMATION

FPPC's E-Filing Questions	• form700@fppc.ca.gov
Cities A-M:	• Sonja Rangel | 916.323.6229 | form700@fppc.ca.gov
Cities N-Z:	• William Cameron | 916.324.2722 | form700@fppc.ca.gov
Counties:	• William Cameron | 916.324.2722 | form700@fppc.ca.gov
Courts:	• Theresa Poon | 916.327.2756 | form700@fppc.ca.gov
Multi-County Agencies:	• Molly Rengchhup | 916.324.7602 | form700@fppc.ca.gov
State Agencies:	• Andrea Carey | 916.323.3213 | form700@fppc.ca.gov
Legislative Staffers:	• Theresa Poon | 916.327.2756 | form700@fppc.ca.gov
Manager:	• Cyndi Glaser | cglaser@fppc.ca.gov
Email Advice:	• advice@fppc.ca.gov
Phone Advice:	• 866-275-3772
Website:	• www.fppc.ca.gov
Twitter:	• @CA_FPPC

THANK YOU

Stay in touch with the FPPC:

advice@fppc.ca.gov

1-866-275-3772*1

Monday – Thursday

9:00 am - 11:30 am