



Fair
Political
Practices
Commission

FORM 700 1999-2000

Statement of Economic Interests

Quick Tips for Easier Filing

Keep the following points in mind when completing the Form 700.

1. Know your jurisdiction.

You only have to report financial interests that are located or doing business in your agency's jurisdiction (see Appendix-4 for an explanation of jurisdiction.)

2. Determine your type of disclosure.

Two types of public officials complete the Form 700.

- If you file this form because you hold a position listed under Government Code Section 87200, disclose all of your financial interests in your agency's jurisdiction (see Instructions-2 for a complete list of 87200 filers.)
- If you file because your position is listed in a state or local agency's conflict of interest code, review the code because it will describe the specific interests you must report. *Obtain the conflict of interest code from your agency - the code is not contained in the Form 700.*

3. Reporting timeframes.

Report your financial interests based on the type of statement you are filing (see Instructions-6 for more information about types of statements.)

4. Check your calendar.

File this form by the due date. Statements that are mailed are considered filed on the date of the postmark. The law does not provide for filing deadline extensions (see Instructions-3 for filing deadlines.)

5. Use the provided schedules.

Don't attach brokerage statements or other financial documents. Each schedule contains a detailed list of interests that are reportable for further guidance.

6. Use your computer.

An interactive version of Form 700 is available on our website (www.fppc.ca.gov).

7. Review your statement.

Your Form 700 is a public record. Take a second look at your statement for accuracy and completeness before it is filed.

8. Sign your statement.

File your originally signed statement with your filing official (see Instructions-3 for your filing location).

9. Amendments

You may amend your statement at any time. Amendment schedules are available from your filing official, the FPPC, or on our website (www.fppc.ca.gov).

10. Call the Commission

Contact us at (916) 322-5660 if you need assistance.

INTRODUCTION

The Political Reform Act (Act) (Government Code Sections 81000-91015) requires most state and local government officials and employees to publicly disclose their personal assets and income. They must also disqualify themselves from participating in decisions which may affect their personal financial 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.

Statements of economic interests are public documents. The filing officer must permit any member of the public to inspect and copy any statement during normal business hours.

Individuals required to file Form 700 should also be aware of the following:

Gift Prohibition

Most state and local officials, employees, and candidates are prohibited from accepting gifts aggregating more than \$300 in a calendar year from a single source.

In addition, 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 Appendix-3 for more detailed information.

Honorarium Ban

Most state and local officials, employees, and candidates are prohibited from accepting any honorarium for any speech given, article published, or attendance at a conference, convention, meeting, or like gathering.

See Appendix-3 for more detailed information.

Loan Prohibitions

State and local public officials may not receive any personal loan aggregating more than \$250 from an official, employee, or consultant of, or from anyone who contracts with, their governmental agencies. In addition, elected officials may not receive any personal loan aggregating more than \$500 from a single lender unless certain terms of the loan are specified in writing. Under certain 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.

See Appendix-4 for more detailed information.

Disqualification

Public officials are, under certain circumstances, required to disqualify themselves from making, participating in, or attempting to influence governmental decisions which will affect their financial interests. This may include interests they are not required to disclose (e.g., certain sources of income of \$250 or more are not reportable, but may be disqualifying).

Post-Governmental Employment

Members of the State Legislature and certain state agency officials and employees who leave office are subject to restrictions on representing clients or employers before their former agencies.

Enforcement

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

The FPPC (and in certain cases the Attorney General or district attorney) may initiate investigations with respect to a suspected violation of the Act. For more information on enforcement procedures, refer to Appendix-2. The FPPC has a toll-free number to report violations: 1-800-561-1861.

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

- Call the FPPC at (916) 322-5660.
- Obtain the following FPPC publications (Also available on the FPPC website):
 - Fact Sheet entitled "Can I Vote? Conflicts of Interest Overview"
 - Fact Sheet on Gifts, Honoraria, Travel, and Loans
 - Fact Sheet entitled "Leaving Your State Job? Post-Employment Restrictions May Affect You"

TWO TYPES OF FILERS

1. Officials and Candidates Specified in Government Code Section 87200

The Act requires the following individuals to fully disclose the personal assets and income described in the attached Form 700:

State Offices

- Governor
- Lieutenant Governor
- Attorney General
- Controller
- Insurance Commissioner
- Secretary of State
- Treasurer
- Members of the State Legislature
- Superintendent of Public Instruction
- State Board of Equalization Members
- Public Utilities Commissioners
- State Energy Resources Conservation and Development Commissioners
- State Coastal Commissioners
- Fair Political Practices Commissioners
- State Public Officials (including employees and consultants) Who Manage Public Investments

Officials and employees of all other state boards, commissions, agencies, and departments file Form 700 as described in part 2 on this page.

Judicial Offices

- Supreme, Appellate, Superior, and Municipal Court Judges
- Court Commissioners
- Retired Judges, Pro-Tem Judges, and part-time Court Commissioners who serve or expect to serve 30 days or more in a calendar year

County and City Offices

- Members of Boards of Supervisors
- Mayors and Members of City Councils
- Chief Administrative Officers
- District Attorneys
- County Counsels
- City Attorneys
- City Managers
- Planning Commissioners
- County and City Treasurers

- County and City Public Officials (including employees and consultants) Who Manage Public Investments

2. State and Local Officials and Employees Designated in a Conflict of Interest Code

The Act requires every state and local government agency to adopt a conflict of interest code. The code lists each position within the agency filled by individuals who make or participate in making governmental decisions which could affect their personal financial interests. The code also requires individuals holding those positions to periodically file Form 700 disclosing certain personal financial interests.

These individuals are called “designated employees” or “code filers.” In addition, certain consultants to public agencies qualify as code filers because they make or participate in making governmental decisions. Obtain the consultant fact sheet from the FPPC for more information.

Each conflict of interest code is unique and contains “disclosure categories” setting out the specific types of interests employees in each designated position must disclose.

When completing this form, it is important to review your disclosure category, which can be obtained from your agency. In general, officials and employees with broad decisionmaking authority must disclose more interests than employees in positions with limited discretion. For example, you may be required to disclose only investments in or income from businesses of the type that contract with your agency, or you may not be required to disclose real property interests.

Note:

- An official who holds a position specified in Gov. Code section 87200 is not required to file statements under the conflict of interest code of any agency which has the same or a smaller jurisdiction (e.g., a state legislator who also sits on a state or local board or commission).

WHERE TO FILE

1. Officials Specified in Government Code Section 87200 (listed in column 1 on Instructions-2):

In most cases, the filing officials listed below will retain a copy of your statement and forward the original to the FPPC.

<u>87200 Filers</u>	<u>Where to File</u>
State offices	Your agency
Judicial offices	The clerk of your court
County offices	Your county clerk
City offices	Your city clerk
Multi-County offices	Your agency

Exceptions:

- File Candidate Statements with the registrar of voters or other city/county official with whom you file your declaration of candidacy.
- Retired judges file directly with the FPPC.

2. Code Filers — State and Local Officials and Employees Designated in a Conflict of Interest Code:

File with your agency, board, or commission unless otherwise specified in your agency's conflict of interest code. In most cases, the agency, board, or commission will retain the statements.

State Senate and Assembly staff members file statements directly with the FPPC.

WHEN TO FILE

Assuming Office and Initial Statements:

<u>Filer</u>	<u>Deadline</u>
Elected officials	30 days after assuming office
Appointed positions specified in Gov. Code section 87200 (listed in column 1 on page 2)	30 days after assuming office <u>or</u> 10 days after appointment or nomination if subject to Senate or judicial confirmation
Other appointed positions (including newly hired employees) designated in a conflict of interest code	30 days after assuming office (30 days after appointment or nomination if subject to Senate confirmation)
Positions newly-added to a new or amended conflict of interest code	30 days after the effective date of the code or amendment

Exceptions:

- Elected state officers who assume office in December or January are not required to file an assuming office statement, but will file the next annual statement due.
- If you complete a term of office and, within 30 days, begin a new term of the same office (e.g., you are reelected or reappointed), you are not required to file an assuming office statement. Instead, you may file the next annual statement due.
- If you leave an office specified in Gov. Code section 87200 (listed in column 1 on Instructions-2) and, within 30 days, you assume another office or position specified in section 87200 which has the same jurisdiction (e.g., a city planning commissioner is elected mayor), you are not required to file an assuming office statement. Instead, you may file the next annual statement due.
- If you transfer from one designated position to another designated position within the same agency, contact your filing officer or the FPPC to determine your filing obligations.

WHEN TO FILE Continued

Annual Statements:

1. Elected state officers (including members of the State Legislature),
Judges and court commissioners, and
Members of state boards and commissions specified in Gov. Code section 87200 (listed in column 1 on Instructions-2)

File no later than **Wednesday, March 1, 2000.**

2. County and city officials specified in Gov. Code section 87200

File no later than **Monday, April 3, 2000***.

3. Multi-County officials

File no later than **Monday, April 3, 2000***.

* Since the April 1 filing deadline falls on a Saturday, the deadline extends to Monday, April 3.

4. State and local officials and employees designated in a conflict of interest code

File on the date prescribed in the code (April 1 for most filers).

Exception:

- If you assumed office between October 1, 1999, and December 31, 1999, and filed an assuming office statement, you are not required to file an annual statement until March 1, 2001, or April 2, 2001, whichever is applicable. The annual statement will cover the day after you assumed office through December 31, 2000.

Incumbent officeholders who file candidate statements must also file annual statements by the specified deadlines.

Leaving Office Statements:

Leaving office statements must be filed no later than **30 days** after leaving the office or position.

Exceptions:

- If you complete a term of office and, within 30 days, begin a new term of the same office (e.g., you are reelected or reappointed), you are not required to file a leaving office statement. Instead, you may file the next annual statement due.
- If you leave an office specified in Gov. Code section 87200 (see Instructions-2) and, within 30 days, you assume another office or position specified in section 87200 which has the same jurisdiction (e.g., a city planning commissioner is elected mayor), you are not required to file a leaving office statement. Instead, you may file the next annual statement due.
- If you transfer from one designated position to another designated position within the same agency, contact your filing officer or the FPPC to determine your filing obligations.

Candidate Statements:

Candidate statements must be filed no later than the final filing date for your declaration of candidacy.

Exceptions:

- If you have filed an assuming office or annual statement for the same jurisdiction within 60 days before filing a declaration of candidacy, you are not required to file a candidate statement.
- For elective offices designated in an agency's conflict of interest code, you must file a candidate statement only if the code specifically requires one to be filed.

Amendments:

Amendments can be filed at any time and should be filed as soon as possible if errors or omissions are discovered. To obtain amendment schedules, contact the FPPC, your filing official, or the FPPC website at www.fppc.ca.gov.

INSTRUCTIONS – COVER PAGE

Enter your name, mailing address, and daytime telephone number. The Form 700 is a document available for public review so you may list your business/office address instead of your home address.

Part 1. Office, Agency, or Court

- Enter the name of your office, agency, or court. (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.)
- Enter your position title. (Examples: Director; Chief Counsel; City Council Member; Staff Services Analyst.)
- If you have multiple filing obligations (e.g., a city councilperson who also is a member of a county board or commission), you may be required to file statements with each agency.

To simplify your reporting obligations, you may file an expanded statement.

To do this, enter the name of the other agency(ies) with which you file and your position title in the space provided. Attach an additional sheet if necessary. Complete one statement covering the disclosure requirements for all positions and file a copy with each agency. Each copy must contain an original signature.

Part 2. Office Jurisdiction

The jurisdiction of your agency is important in determining what you must disclose. You are required to disclose investments and sources of income located in or doing business in your agency's jurisdiction, and interests in real property located in your agency's jurisdiction. (See Appendix-4 for a detailed explanation of "jurisdiction.")

Check the box indicating the jurisdiction of your agency and, if applicable, identify the jurisdiction.

State Offices and All Courts: Your jurisdiction is the state if you are an elected state officer, a state legislator, a judge, or a candidate for one of these offices. If you are an official or employee

of, or a consultant to, a state board, commission, or agency, or of any court or the State Legislature, your jurisdiction is also the state.

County Offices: Your jurisdiction is the county if you are an elected county officer, a candidate for county office, or if you are an official or employee of, or a consultant to, a county agency or any agency with jurisdiction solely within a single county.

City Offices: Your jurisdiction is the city if you are an elected city officer, a candidate for city office, or you are an official or employee of, or a consultant to, a city agency or any agency with jurisdiction solely within a single city.

Multi-County Offices: If you are an elected officer, candidate, official or employee of, or a consultant to, a multi-county agency, your jurisdiction is the region, district, or other geographical area in which the agency has jurisdiction. List each county in which your agency has jurisdiction. (Example: A water district has jurisdiction in a portion of two counties. Members of the board are only required to report interests located or doing business in that portion of each county in which the agency has jurisdiction.)

Other (e.g., school districts and special districts): If you are an elected officer, candidate, official, or employee of, or a consultant to, an agency not covered above, check the "Other" box and enter the county or city in which the agency has jurisdiction. Your jurisdiction is the region, district, or other geographical area in which the agency has jurisdiction. See the multi-county example above.

Example:

Jason Roberts is a member of the Sacramento City Council.

1. Office, Agency, or Court <small>Provide precise name. Do not use acronyms.</small>
City Council _____
Division, Board, District, if applicable: District 5 _____
Position: Member of the City Council _____
<input checked="" type="checkbox"/> Expanded Statement - List agency/position: <small>(Attach a separate sheet if necessary. Do not use acronyms.)</small>
Agency: _____
Position Title: _____
2. Office Jurisdiction <small>(Check one).</small>
<input type="checkbox"/> State
<input type="checkbox"/> County of _____
<input checked="" type="checkbox"/> City of Sacramento _____
<input type="checkbox"/> Multi-County _____
<input type="checkbox"/> Other _____

INSTRUCTIONS – COVER PAGE Continued

Part 3. Type of Statement

The type of statement you are filing determines the period covered by the statement. Check at least one box indicating the type of statement you are filing.

If you are filing under a state or local agency's conflict of interest code, be sure to obtain a copy of your disclosure category from your agency to determine what you must disclose. The disclosure category is not contained in the Form 700.

Assuming Office Statement: If you are a newly-elected or newly-appointed official or are newly employed in a position designated in a state or local agency's conflict of interest code, check the "Assuming Office/Initial" box and enter the date you assumed office (the date you were sworn in, employed, or otherwise authorized to serve in the position).

- Report investments, interests in real property, and business positions held on the date you assumed the office or position. In addition, report 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 Performance, use the date you were appointed or nominated to the position.

Initial Statement: If your office or position has been added to a newly-adopted or newly-amended conflict of interest code, check the "Assuming Office/Initial" box and enter 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. In addition, report income (including loans, gifts, and travel payments) received during the 12 months prior to the effective date of the code or amendment.

Annual Statement: Check the "Annual" box and check the circle indicating the period covered. If the period covered by the statement is different than January 1, 1999, through December 31, 1999 (e.g., you assumed office between October 1, 1998, and December 31, 1999, or you are combining statements), enter the period covered.

- Report investments, interests in real property, and business positions held and income (including loans, gifts, and travel payments) received during the period covered by the statement.

Leaving Office Statement: If you have left the position, check the "Leaving Office" box and enter the date you left office. Also check the circle to indicate the period covered. If the period covered is different than January 1, 1999, through the date you left office (e.g., you assumed office between October 1, 1998, and December 31, 1998, or you are combining statements), enter the period covered.

- Report investments, interests in real property, and business positions held and income (including loans, gifts, and travel payments) received during the period covered by the statement.

Candidate Statement: If you are filing a statement in connection with your candidacy for state or local office, check the "Candidate" box.

- Report investments, interests in real property, and business positions held on the date of filing your declaration of candidacy. In addition, report income (including loans, gifts, and travel payments) received during the 12 months prior to the date of filing your declaration of candidacy.

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 be able to combine your annual and leaving office statements. Consult your filing officer or the FPPC.

INSTRUCTIONS – COVER PAGE Continued

Part 4. Schedule Summary

Check the “Yes” box for each schedule on which you had any interests to disclose. Please discard any schedule on which you have nothing to report.

Check the box “No reportable interests” if you have nothing to report on any of the schedules.

Enter the total number of pages included in your statement (including the cover page).

Part 5. Verification

Complete the verification by signing the statement and entering the date signed. **An unsigned statement is not considered filed and you may be subject to late filing penalties.**

To assist you in completing your statement, please review the following:

Questions/Answers

- Q. I hold two other positions on boards in addition to my position with the county. Must I file three different statements of economic interests?
- A. You may complete only one statement by listing the county and the two boards on the cover page of the Form 700 as the agencies for which you will be filing. Report your economic interests using the broadest jurisdiction and 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.
- Q. I have an investment interest in shares of stock from a company which does not have an office in my jurisdiction. Must I still disclose my investment interest in this company?
- A. The definition of “doing business in the jurisdiction,” for disclosure purposes, is not limited to whether or not the business has an office in your jurisdiction. Please refer to Appendix-4 for guidance.

- Q. My financial interests are the same as those that I reported last year. May I file a copy of last year’s statement?
- A. No. You must file a new report for the correct period covered by the statement.
- 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 investment disclosed?
- A. You must disclose the name of the trust on Schedule A-2. The rental property and its income are reportable. Your primary residence, and investments in diversified mutual funds registered with the SEC are not reportable.
- Q. On Schedule B-Interests In Real Property, I have disclosed my interest in a rental property. Must I also disclose the names of my tenants?
- A. Only disclose the names of those tenants from whom your pro rata share of the income received was \$10,000 or more in the reporting period. Otherwise, leave the space blank. See Appendix-3 for guidance.
- Q. When completing the schedules for disclosing loans received, what is meant by disclosing the “term” of the loan?
- A. 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 entered into. For example, report the term of a five-year automobile loan as “5 years” even if you have only three years left to pay on the loan.
- Q. I solely own my own business. Where do I disclose my income – on Schedule A-2 or 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 Appendix-1 which defines “business entity” for more information.
- Q. How do I disclose my spouse’s income from an employer?
- A. Report your spouse’s employer as a source of income on Schedule C.

WHAT SCHEDULE DO I USE TO REPORT...?

Business positions	Schedule A-2 or Schedule C
Commission income	Schedule A-2 or Schedule C (see Appendix-1)
Gifts received by family members	May not be required, see Schedule E
Gifts received from family members	Not required, see Schedule E
Income to my business	Schedule A-2
Individual Retirement Account	Schedule A-1, or Schedule B (see Appendix-5)
Investments	Schedule A-1 or Schedule A-2
Loans made to others	Not required, but report repayments on Schedule C
Loans received	Schedule B for real property, or Schedule D
Loans to my business	Schedule A-2
Owning a business	
If I own less than 10% of a business	Schedule A-1
If I own 10% or more of a business	Schedule A-2
Partnerships	
If I own less than 10% of a partnership	Schedule A-1
If I own 10% or more of a partnership	Schedule A-2
Real estate holdings	Schedule B (Schedule A-2 if held by a business entity/trust)
Rental income	Schedule B or Schedule C
Rental property	Schedule B (Schedule A-2 if held by a business entity/trust)
Sale of my home/automobile/boat	Schedule C
Sole proprietorship	Schedule A-2
Speaking fees ("Honoraria")	May be prohibited (see Appendix-3)
Spouse's income	Schedule A-2 or Schedule C
Stock holdings	
If I own less than 10% of a company's stock	Schedule A-1
If I own 10% or more of a company's stock	Schedule A-2
Tickets and passes	Schedule E
Travel reimbursements or payments	Schedule F
Trusts	Schedule A-2 (see Appendix-6)

STATEMENT OF ECONOMIC INTERESTS

A Public Document

Please type or print in ink

NAME (LAST) (FIRST) DAYTIME TELEPHONE NUMBER MAILING ADDRESS STREET CITY ZIP CODE OPTIONAL: FAX / E-MAIL ADDRESS

COVER PAGE

1. Office, Agency, or Court

Provide precise name. Do not use acronyms.

Division, Board, District, if applicable:

Position:

Expanded Statement - List agency/position: Attach a separate sheet if necessary. Do not use acronyms.

Agency:

Position Title:

2. Office Jurisdiction (Check one)

- State County of City of Multi-County Other

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

- Assuming Office/Initial Date: Annual (Check one) The period covered is January 1, 1999, through December 31, 1999. The period covered is through December 31, 1999. Leaving Office Date Left: (Check one) The period covered is January 1, 1999, through the date of leaving office. The period covered is through the date of leaving office. Candidate

4. Schedule Summary

(Check applicable schedules or "No reportable interests.")

During the reporting period, did you have any reportable interests to disclose on:

Schedule A-1 Yes - schedule attached Investments (Less than 10% Ownership)

Schedule A-2 Yes - schedule attached Investments (Greater than 10% Ownership)

Schedule B Yes - schedule attached Real Property

Schedule C Yes - schedule attached Income & Business Positions (Income Other than Loans, Gifts, and Travel)

Schedule D Yes - schedule attached Income - Loans

Schedule E Yes - schedule attached Income - Gifts

Schedule F Yes - schedule attached Income - Travel Payments

No reportable interests

Total number of pages (including this cover page):

5. Verification

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

Executed on (month, day, year)

SIGNATURE (File the originally signed statement with your filing officer.)