

## INSTRUCTIONS — SCHEDULES A-1 AND A-2 INVESTMENTS

“Investment” means any financial interest in any business entity located in or doing business in your agency’s jurisdiction (see Appendix-4) in which you, your spouse, or your dependent children had a direct, indirect, or beneficial interest aggregating \$1,000 or more at any time during the reporting period.

### Reportable investments include:

- Stocks, bonds, warrants, and options, including those held in margin or brokerage accounts.
- Sole proprietorships.
- Your own business or your spouse’s business (see Appendix-1 for the definition of business entity).
- Partnerships (e.g., law firm, family farm, etc.).
- Investments in reportable business entities held in a retirement account (see Appendix-5).
- Investments held by a business entity or trust (including a living trust) in which you, your spouse, or dependent children had a 10% or greater ownership interest.
- Business trusts.

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

- Diversified mutual funds registered with the Securities and Exchange Commission (SEC).
- Bank accounts, savings accounts, and money market accounts.
- Insurance policies.
- Annuities.
- Shares in a credit union.
- Government bonds.
- Retirement accounts invested in non-reportable interests such as insurance policies, diversified mutual funds, or government bonds (see Appendix-5).
- Defined benefit pension plans and profit sharing plans qualified under Internal Revenue Code section 401(a).
- Interests held in a blind trust (see Appendix-6).

### 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 code may require disclosure of specific investments only.

**Use Schedule A-1** to report investments if your ownership interest in the entity was less than 10% (e.g., utility stock). You may also be required to complete Schedule C.

**Use Schedule A-2** to report investments in which your ownership interest in the entity was 10% or greater (e.g., sole proprietorship). (See Instructions-10 on the back of Schedule A-1.)

### TO COMPLETE SCHEDULE A-1:

- Disclose the name of the business entity.
- Provide a general description of the business activity of the entity (e.g., pharmaceuticals, computers, automobile manufacturing, communications, etc.).
- Check the box indicating the fair market value of your investment (i.e., how much your investment was worth on the open market at its highest value during the period).
- Identify the nature of your investment (e.g., stocks, warrants, options, bonds).
- If you acquired or disposed of your investment interest during the reporting period, enter the date acquired or disposed.

### Examples:

John Smith is a manager for a state agency. His conflict of interest code requires full disclosure of investments. John must disclose his stock holdings of \$1,000 or more in any company that does business in California as well as those held by his spouse and dependent children.

Susan Jones is a city council member. She has a 4% interest in a limited partnership located in the city which is worth \$5,000. Susan must disclose the partnership on Schedule A-1 and income of \$250 or more received from the partnership on Schedule C.

Alice Howard supervises the purchasing department of a governmental agency. She owns stock in a utility company which only does business in New York. Alice is a code filer and her disclosure category requires reporting of investments of the type that supply services or supplies to the agency. She is **not** required to report the utility company stock because the company does not do business in her jurisdiction.

Investments

Stocks, Bonds, and Other Interests

(Ownership Interest is Less Than 10%)

**CALIFORNIA 700**  
**1999/2000 FORM**  
 FAIR POLITICAL PRACTICES COMM.  
 Name \_\_\_\_\_

➤ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF BUSINESS ACTIVITY \_\_\_\_\_

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

NATURE OF INVESTMENT  
 Stock  
 Other \_\_\_\_\_ (Describe)

IF APPLICABLE, LIST DATE:  
 \_\_\_\_/\_\_\_\_/99      \_\_\_\_/\_\_\_\_/99  
 ACQUIRED                  DISPOSED

➤ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF BUSINESS ACTIVITY \_\_\_\_\_

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

NATURE OF INVESTMENT  
 Stock  
 Other \_\_\_\_\_ (Describe)

IF APPLICABLE, LIST DATE:  
 \_\_\_\_/\_\_\_\_/99      \_\_\_\_/\_\_\_\_/99  
 ACQUIRED                  DISPOSED

➤ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF BUSINESS ACTIVITY \_\_\_\_\_

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

NATURE OF INVESTMENT  
 Stock  
 Other \_\_\_\_\_ (Describe)

IF APPLICABLE, LIST DATE:  
 \_\_\_\_/\_\_\_\_/99      \_\_\_\_/\_\_\_\_/99  
 ACQUIRED                  DISPOSED

➤ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF BUSINESS ACTIVITY \_\_\_\_\_

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

NATURE OF INVESTMENT  
 Stock  
 Other \_\_\_\_\_ (Describe)

IF APPLICABLE, LIST DATE:  
 \_\_\_\_/\_\_\_\_/99      \_\_\_\_/\_\_\_\_/99  
 ACQUIRED                  DISPOSED

➤ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF BUSINESS ACTIVITY \_\_\_\_\_

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

NATURE OF INVESTMENT  
 Stock  
 Other \_\_\_\_\_ (Describe)

IF APPLICABLE, LIST DATE:  
 \_\_\_\_/\_\_\_\_/99      \_\_\_\_/\_\_\_\_/99  
 ACQUIRED                  DISPOSED

➤ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF BUSINESS ACTIVITY \_\_\_\_\_

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

NATURE OF INVESTMENT  
 Stock  
 Other \_\_\_\_\_ (Describe)

IF APPLICABLE, LIST DATE:  
 \_\_\_\_/\_\_\_\_/99      \_\_\_\_/\_\_\_\_/99  
 ACQUIRED                  DISPOSED

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

## INSTRUCTIONS – SCHEDULE A-2 INVESTMENTS

---

Use Schedule A-2 to report investments in a business entity or trust (including a living trust), in which you, your spouse, or your dependent children had a 10% or greater interest and which is located in or doing business in your agency's jurisdiction (see Appendix-4). A trust located outside your agency's jurisdiction is reportable if it holds assets that are located in or doing business in the jurisdiction.

Also report on Schedule A-2 investments and real property held by that entity or trust if your pro rata share of the interest was \$1,000 or more during the reporting period. For example, if you had a 20% partnership interest in a business entity and the entity owns real property, you would report that real property if your pro rata share of the value of the property was \$1,000 or more (i.e., if the property's value is at least \$5,000).

**If you have more than one reportable business entity or trust, you must complete a separate Schedule A-2 for each entity and its holdings.**

### 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, complete the box as follows:

- Provide a general description of the business activity of the entity.
- Check the box indicating the fair market value of your investment.
- If you acquired or 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).

**Part 2.** Check the box indicating your gross income from the business entity or trust identified in part 1. Include the following:

- Gross income received **from** the business entity or trust in the form of salary, wages, reimbursement of expenses, or other compensation (including your community property interest in your spouse's income); and
- Your pro rata share of the gross income received **by** the business entity or trust (including your community property interest in your spouse's income).

**Part 3.** Disclose the name of each source of income located in or doing business in your agency's jurisdiction, as follows:

- Disclose each source of income and loans **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 income) to the business entity or trust from that source was \$10,000 or more during the reporting period.
- 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 Appendix-1).

This may include sources of income where the income is generated outside your jurisdiction if the source is located or doing business in the jurisdiction.

**You may be required to disqualify yourself from decisions affecting sources of \$250 or more in income, even though you are not required to report it.**

**You are not required to report on Schedule C income or business positions already reported on Schedule A-2.**

**Part 4.** Report any investments or interests in real property held by the entity or trust identified in part 1 if your pro rata share of the interest held is \$1,000 or more.

- Check the applicable box indicating if the interest held is real property or an investment.
- If an investment, provide the name and description of the business entity.
- If real property, report the address or other precise location (e.g., assessor's parcel number) of the real property.
- Check the box indicating the fair market value of your interest in the real property or investment.
- Identify the nature of your interest.
- If you acquired or disposed of your interest in the property or investment during the reporting period, enter the date acquired or disposed.

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

<b>CALIFORNIA</b> <b>1999/2000 FORM</b> <b>700</b> <small>FAIR POLITICAL PRACTICES COMM.</small>
Name _____

**▶ 1. BUSINESS ENTITY OR TRUST**

Name \_\_\_\_\_

Address \_\_\_\_\_

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

GENERAL DESCRIPTION OF BUSINESS ACTIVITY	
FAIR MARKET VALUE	IF APPLICABLE, LIST DATE:
<input type="checkbox"/> \$1,000 - \$10,000	____/____/99      ____/____/99
<input type="checkbox"/> \$10,001 - \$100,000	ACQUIRED      DISPOSED
<input type="checkbox"/> Over \$100,000	
NATURE OF INVESTMENT	
<input type="checkbox"/> Sole Proprietorship	<input type="checkbox"/> Partnership
<input type="checkbox"/> _____ Other	
YOUR BUSINESS POSITION _____	

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

\$0 - \$249     \$250 - \$1,000     \$1,001 - \$10,000     OVER \$10,000

**▶ 3. LIST EACH REPORTABLE SOURCE OF INCOME/LOANS OF \$10,000 OR MORE (attach a separate sheet if necessary)**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

Check one box:

INVESTMENT       REAL PROPERTY

Name of Business Entity or \_\_\_\_\_  
Street Address or Assessor's Parcel Number of Real Property \_\_\_\_\_

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

FAIR MARKET VALUE	IF APPLICABLE, LIST DATE:
<input type="checkbox"/> \$1,000 - \$10,000	____/____/99      ____/____/99
<input type="checkbox"/> \$10,001 - \$100,000	ACQUIRED      DISPOSED
<input type="checkbox"/> Over \$100,000	

NATURE OF INTEREST

Property Ownership/Deed of Trust     Stock     Partnership

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

Other \_\_\_\_\_

**▶ 4. (cont.)**

Check one box:

INVESTMENT       REAL PROPERTY

Name of Business Entity or \_\_\_\_\_  
Street Address or Assessor's Parcel Number of Real Property \_\_\_\_\_

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

FAIR MARKET VALUE	IF APPLICABLE, LIST DATE:
<input type="checkbox"/> \$1,000 - \$10,000	____/____/99      ____/____/99
<input type="checkbox"/> \$10,001 - \$100,000	ACQUIRED      DISPOSED
<input type="checkbox"/> Over \$100,000	

NATURE OF INTEREST

Property Ownership/Deed of Trust     Stock     Partnership

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

Other \_\_\_\_\_

**▶ 4. (cont.)**

Check one box:

INVESTMENT       REAL PROPERTY

Name of Business Entity or \_\_\_\_\_  
Street Address or Assessor's Parcel Number of Real Property \_\_\_\_\_

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

FAIR MARKET VALUE	IF APPLICABLE, LIST DATE:
<input type="checkbox"/> \$1,000 - \$10,000	____/____/99      ____/____/99
<input type="checkbox"/> \$10,001 - \$100,000	ACQUIRED      DISPOSED
<input type="checkbox"/> Over \$100,000	

NATURE OF INTEREST

Property Ownership/Deed of Trust     Stock     Partnership

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

Other \_\_\_\_\_

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

\_\_\_\_\_