

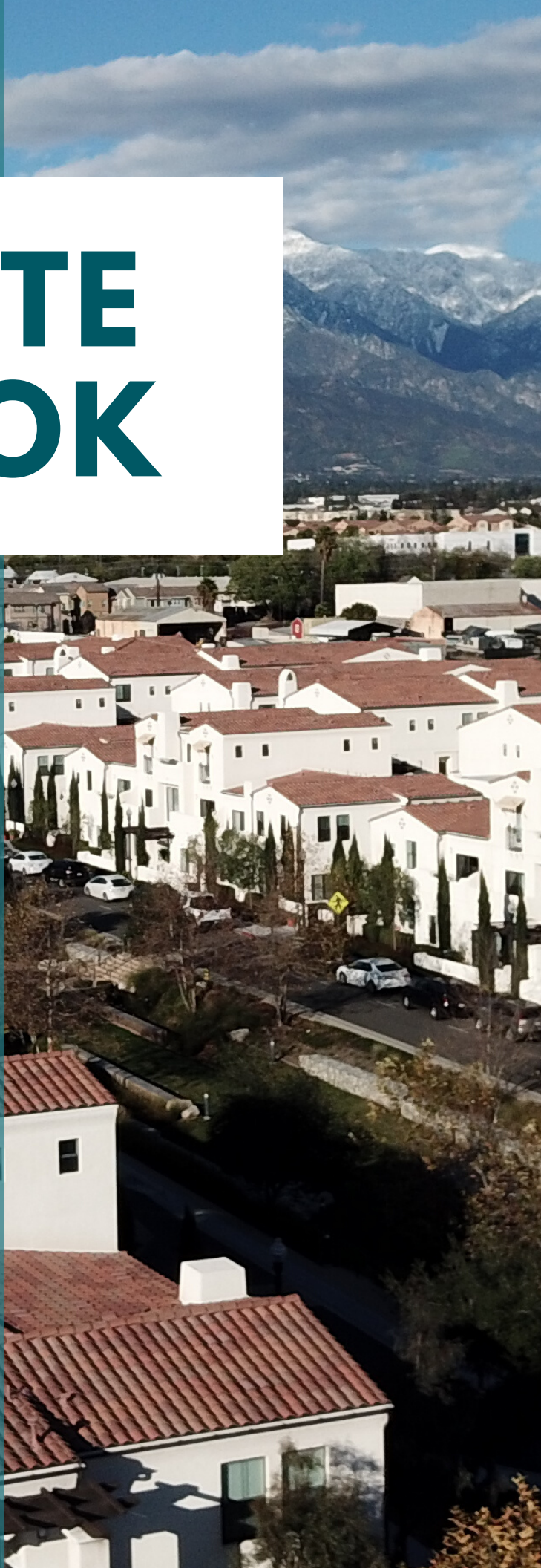
NOVEMBER 3, 2020

CANDIDATE HANDBOOK

**CITY OF MONTCLAIR
GENERAL MUNICIPAL ELECTION**

CITY CLERK'S OFFICE

ANDREA M. PHILLIPS, CITY CLERK
cityclerk@cityofmontclair.org
(909) 625-9416



**CITY OF MONTCLAIR
2020 GENERAL MUNICIPAL ELECTION
CANDIDATE'S HANDBOOK**

TABLE OF CONTENTS

<u>PAGE</u>	<u>INTRODUCTION</u>
4.....	Introduction from City Clerk
5.....	Election Contact Information
<u>PAGE</u>	<u>MONTCLAIR GOVERNMENT</u>
6.....	Montclair Municipal Code Chapter 2.12 Mayor & City Council
12.....	Montclair Public Meeting Schedule
13.....	City Organization Chart
<u>PAGE</u>	<u>NOMINATION PROCEDURE</u>
14.....	Becoming a Candidate
15.....	Candidate Guidance & Acknowledgment for Electronic Issuance of Candidate Documents*
16.....	Acknowledgment of Receipt of Candidate Information from City Clerk*
19.....	Elections Code §10220-10229 – Nomination of Candidates for Local Office
32.....	Nomination Paper (Sample)
36.....	Candidate Profile*
37.....	Code of Fair Campaign Practices*
38.....	Checklist for Filing of Nomination Papers
<u>PAGE</u>	<u>BALLOT DESIGNATION</u>
39.....	Election Code §13107 – Ballot Designation Law
42.....	California Code of Regulations Title 2 §20710-20719 – Ballot Designation Regulations
50.....	Ballot Designation Worksheet Guide
57.....	Ballot Designation Worksheet Form*
<u>PAGE</u>	<u>CANDIDATE STATEMENT</u>
59.....	Candidate Statement General Information
61.....	Elections Code §13307 – Candidate Statement Law
64.....	Resolution No. 20-3269 – Montclair Candidate Statement Regulations
65.....	Registrar of Voters Rules Governing Candidate Statements
71.....	Candidate Statement Form*
73.....	Candidate Statement Decline Form*
74.....	Candidate Statement Withdrawal Form*
75.....	Affidavit of Financial Worth*

* Sample only—actual form to be used is provided to the candidate in print and/or digital format on a USB drive with other nomination documents, or may be provided via e-mail upon request per COVID safety protocols.

** Sample Only — Actual form to be used can be downloaded and printed from <http://www.fppc.ca.gov/forms.html>, or can be completed and filed online without the need to print at <https://netfile.com/Filer>. (Note: The Form 410 must be printed, signed, and mailed to Secretary of State, but the City Clerk's copy may be filed electronically).

*** Not Included; view or download from <http://www.fppc.ca.gov/forms/all-fppc-manuals.html>. Hard copies of this Manual and other materials may be purchased; printing costs are based on City's Master User Fee Schedule.

PAGE GENERAL ELECTION INFORMATION

79..... Election Calendar – November 3, 2020
80..... Resolution No. 20-3268 Calling and Giving Notice of Election
82..... Resolution No. 20-3270 Consolidating Election with County
84..... Campaign Laws and Regulations
93..... Government Code §84305 – Mass Mailing Information
94..... Montclair Political Sign Posting Guidelines
95..... California Department of Transportation Statement of Responsibility
 for Political Signs
97..... Southern California Edison – Campaign Signs on Utility Poles

PAGE COUNTY REGISTRAR OF VOTER PRODUCTS & SERVICES

98..... Outline of ROV Products and Services
104..... Fee Schedule for ROV Products and Services
106..... Automated Report and Map Request Form
107..... Application for Voter Registration Information Form
111..... Application for Pre-Election Recurring Vote by Mail File

PAGE FAIR POLITICAL PRACTICES COMMISSION (FPPC)
INFORMATION

116..... Schedule for Filing Campaign Statements
117..... NetFile Filer Training for Candidates and Treasurers
118..... Where to File Campaign Statements
119..... Secretary of State COVID-19 Guidance to Filers
123..... Recent FPPC Changes
129..... FPPC Campaign FAQ
140..... FPPC Form 700 FAQ

PAGE FPPC Forms

150..... Form 501 – Candidate Intention Statement
152..... Form 410** – Committee Statement of Organization / Amendment /
 Termination
159..... Form 460** – Recipient Committee Campaign Statement
192..... Form 470** – Officeholder and Candidate Campaign Statement –
 Short Form
196..... Form 496** – 24-Hour Independent Expenditure Report
200..... Form 497** – 24-Hour Contribution Report
205..... Form 700** – 2019-20 Statement of Economic Interests

Campaign Disclosure Manual 2***

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*** Not Included; view or download from <http://www.fppc.ca.gov/forms/all-fppc-manuals.html>. Hard copies of this Manual and other materials may be purchased; printing costs are based on City's Master User Fee Schedule.



MEMORANDUM

DATE: July 13, 2020
TO: All Persons Filing for a Seat on the Montclair City Council
SUBJECT: November 3, 2020 General Municipal Election

Congratulations on your decision to participate in the electoral process! This manual has been prepared to assist you in understanding and complying with the requirements and laws related to candidates for City Council. It is not intended to provide legal advice—it is for general guidance only.

Running for office is an exciting experience but can also be confusing, particularly for first-time candidates. The City Clerk's Office is available to answer your questions and provide the appropriate forms and instructional materials.

Reporting requirements for campaign finances are rather technical, and I encourage you to recruit a Treasurer who has election experience and is willing to take on the full responsibilities of that position. I also encourage you to call or email the California Fair Political Practices Commission (FPPC) (1-866-ASK-FPPC / 1-866-275-3772 / advice@fppc.ca.gov) with any questions you have regarding campaign expenditures or contributions. The FPPC website www.fppc.ca.gov offers an overview of the Political Reform Act and the FPPC's regulations.

New this year: In an effort to simplify and expedite the filing procedure for candidates and campaign committees, the City has implemented the NetFile electronic filing system for online submission of FPPC forms. Online filing is available 24/7 from any computer with internet access. NetFile will save you time, ensure all required data is complete, and eliminate the need for filing amendments. Moreover, all of your information is saved for future filings. You will not need to print, sign, or mail your Form 700 or campaign statement forms. Once an online filing is completed, no further action is required. (Note: your Candidate Form 700 must be submitted prior to your final appointment to submit nomination documents if using the online filing system.)

I look forward to working with you throughout the election process. Please feel free to contact me at (909) 625-9416 or via email at cityclerk@cityofmontclair.org with any questions you may have.


Andrea M. Phillips
City Clerk

**CITY OF MONTCLAIR
2020 GENERAL MUNICIPAL ELECTION**

CONTACT INFORMATION

CITY OF MONTCLAIR — CITY CLERK'S OFFICE

Andrea M. Phillips, City Clerk

City of Montclair
5111 Benito Street
Montclair, CA 9163

FAX: (909) 621-1584
Phone: (909) 625-9416
Email: cityclerk@cityofmontclair.org
Website: www.cityofmontclair.org

SAN BERNARDINO COUNTY — REGISTRAR OF VOTERS OFFICE

Bob Page, Registrar of Voters

County of San Bernardino
777 East Rialto Avenue
San Bernardino, CA 92415-0770

FAX: (909) 387-2022
Phone: (909) 387-8300
Email: communications@sbcountyelections.com
Website: www.sbcountyelections.com

CALIFORNIA FAIR POLITICAL PRACTICES COMMISSION (FPPC)

Fair Political Practices Commission
1102 Q Street, Suite 3000
Sacramento, CA 95811

FAX: (916) 322-0886
Phone – Advice: (866) 275-3772
Phone – General: (916) 322-5660
Email – Advice: advice@fppc.ca.gov
*Email – Complaint: complaint@fppc.ca.gov
Website: www.fppc.ca.gov

**Report Political Reform Act violations
to the FPPC via the Complaint email.*

CALIFORNIA SECRETARY OF STATE — ELECTIONS DIVISION

Alex Padilla, Secretary of State

Elections Division
1500 11th Street, 5th Floor
Sacramento, CA 95814

FAX: (916) 653-3214
Phone: (916) 653-6814
Email: elections@sos.ca.gov
Website: www.sos.ca.gov/elections

MONTCLAIR MUNICIPAL CODE EXCERPT

Chapter 2.12 - MAYOR AND CITY COUNCIL

§ 2.12.010 - Qualifications of Council Members - Vacancy upon nonresidence.

- A. Qualifications. A person is not eligible to hold office as Council member or Mayor unless that person is, at the time of taking out nomination papers for election to such office or being appointed to such office, a legally registered voter in the City of Montclair.
- B. Residency. If a person holding the elective office of Mayor or Council Member moves his/her place of residence outside of the City Limits or ceases to be a legally registered voter in the City, his/her office shall immediately become vacant.

(Ord. 99-791 Exh. A (part); prior code § 2-2.01)

§ 2.12.020 - General election - Elective officers, term and expenditure ceiling.

- A. **Municipal Election.** A general municipal election shall be held on the second Tuesday in November in each even-numbered year and shall be consolidated with the statewide general election.
- B. **Elective Officers.** The offices of Mayor and Council Member are elective offices. All elective offices shall be filled by the City electorate at a general municipal election, unless a vacancy is filled by appointment pursuant to the Government Code.
- C. **Term.** City officers holding elective City office shall hold office for four years from the date they assume office until their successors are elected and assume office, or until the end of an unexpired term to which they are appointed or elected.
- D. **Expenditure Ceiling.**
 - 1. A voluntary expenditure ceiling of 25 cents per resident for each candidate at a Montclair municipal election at which candidates for Mayor or City Council are on the ballot is imposed.
 - 2. Each candidate for the office of Mayor or City Council shall file a statement of acceptance or rejection of the voluntary expenditure ceiling before accepting any contributions.
 - 3. Contribution limitations depend on whether or not the expenditure limit is accepted, and are pursuant to Chapter 5 of Title 9 of the Government Code.

(Ord. 99-791 Exh. A (part); prior code § 2-2.02) **NOTICE: EFFECTIVE JULY 23, 2020, ORDINANCE NO. 20-990 SHALL BECOME EFFECTIVE AND AMEND THE HIGHLIGHTED SECTIONS. PLEASE SEE ORDINANCE ATTACHED.**

§ 2.12.030 - Oath.

Before entering upon elective duties, each elected City officer shall take, and file with the City Clerk, the constitutional oath of office.

(Prior code § 2-2.03)

§ 2.12.040 - Vacancy for absence.

If the Mayor or a Council Member is absent from all regular City Council meetings for 60 consecutive days from the last regular meeting attended, without first leaving notice with the City Clerk indicating the period of time for which the absence is planned, the office shall be declared vacant and shall be filled as any other vacancy. No inference is made in this section that the absence of the Mayor or a Council Member is dependent upon the authorization of the City Council.

(Ord. 99-791 Exh. A (part); prior code § 2-2.05)

§ 2.12.050 - Compensation—Salary schedule and effective date—Exclusion of benefit costs in salary computation.

- A. Schedule. Each member of the City Council shall receive as salary the sum of one thousand one hundred fifty dollars (\$1,150.00) per month.
- B. Effective Date. Any increase in compensation shall become effective for all members of the City Council no sooner than that calendar month that next succeeds the beginning of a new term of office for any member of the City Council following the adoption of such increase.

(Ord. 06-872 § 1 (part); Ord. 03-833; Ord. 99-791 Exh. A (part); prior code § 2-2.06)

(Ord. No. 17-970, § I, 2-5-18)

§ 2.12.060 - Additional compensation for Mayor.

Compensation provided to the Mayor, in addition to that received as a Council Member, shall be five hundred dollars (\$500.00) per month.

(Ord. 06-872 § 1 (part); Ord. 99-791 Exh. A (part); prior code § 2-2.07) (Ord. No. 17-970, § I, 2-5-18)

§ 2.12.070 - Compensation—Filling vacancies.

Compensation to a member of the City Council appointed or elected to fill a vacancy is the same as that payable to the member whose office was vacated.

(Ord. 99-791 Exh. A (part); prior code § 2-2.08)

§ 2.12.080 - Reimbursement.

The salaries prescribed in this chapter are, and shall be, exclusive of any amounts payable to each member of the City Council as reimbursements for actual and necessary expenses incurred through the performance of official duties for the City.

(Ord. 99-791 Exh. A (part); prior code § 2-2.09)

§ 2.12.090 - Council meetings.

- A. Council Meetings. Except as otherwise provided in the Government Code, all meetings of the City Council shall be open to the public, and all persons shall be permitted to attend any meeting of the City Council. A member of the public shall not be required, as a condition to attendance at a meeting of the City Council, to register his or her name, to provide other information, to complete a questionnaire, or otherwise to fulfill any condition precedent to his or her attendance. If an attendance list, register, questionnaire, or other similar document is posted at or near the entrance to the room where the meeting is to be held, or is circulated to the persons present during the meeting, it shall state clearly that the signing, registering or completion of the document is voluntary, and that all persons may attend the meeting regardless of whether a person signs, registers or completes the document.
- B. Time. The City Council shall hold regular meetings on the first and third Mondays of each month at 7:00 p.m. When a regular meeting falls on a holiday, the meeting shall be held on the next business day.
- C. Place. All regular meetings of the City Council shall be held in the City Council Chambers, located at 5111 Benito Street, Montclair, California.

- D. Presiding Officer. The Mayor shall be the presiding officer at all meetings of the City Council. If the Mayor is absent or unable to act, the Mayor Pro Tem shall serve until the Mayor returns or is able to act. The Mayor may make or second any motion and present and discuss any matter as a member of the City Council. The Mayor is a member of the City Council and has all the powers and duties of a member of the City Council.
- E. Adjourned Meetings. The City Council may adjourn any regular, adjourned regular, special or adjourned special meeting to a time and place specified in the order of adjournment. Three Council Members shall constitute a quorum for transaction of business in all meetings; less than a quorum may adjourn a meeting to a stated time and place. If all Council Members are absent from any regular or adjourned meeting, the City Clerk shall declare the meeting adjourned to a stated time and place. A written notice of the adjournment shall be conspicuously posted on or near the door of the place where the meeting was held within 24 hours after the time of the adjournment, and a copy of the notice of adjournment shall be delivered to each Council Member.
- F. Special Meetings. A special meeting may be called at any time by the presiding officer, or by a majority of the Council Members. A written notice of the special meeting, indicating the time and place of the special meeting and the business to be transacted, shall be received by each Council Member and a local newspaper of general circulation at least 24 hours before the time of the special meeting as specified in the notice. No other business shall be considered at a special meeting. Ordinances, other than an urgency ordinance, shall not be passed at other than a regular meeting or at an adjourned regular meeting.
- G. Emergency Meetings. In the case of an emergency situation involving matters upon which prompt action is necessary due to the disruption or threatened disruption of public facilities, the City Council may hold an emergency meeting without complying with the 24-hour notice requirement; however, the local newspaper of general circulation shall be notified by telephone at least one hour prior to the emergency meeting. In the event telephone services are not functioning, this requirement shall then be waived. Such newspaper shall then be notified as soon after the meeting as possible of the purpose of the meeting and any action taken. An emergency meeting shall be open to the public. The minutes of an emergency meeting, accompanied by a list of persons notified, a copy of the roll call vote and any actions taken shall be posted for a minimum of 10 days in a public place as soon after the meeting as possible. For purposes of this section, "emergency situation" means any of the following: (1) work stoppage or other activity which severely impairs public health, safety, or both, as determined by a majority of the members of the City Council; and (2) crippling disaster which severely impairs public health, safety, or both, as determined by a majority of the members of the City Council.
- H. Closed Sessions. All Closed Session of the City Council shall be held in accordance with that section of the Government Code known as "The Ralph M. Brown Act."

(Ord. 99-791 Exh. A (part); prior code § 2-2.10)

§ 2.12.100 - Mayor Pro Tem—Selection, power and duties.

- A. Selection. The City Council, at its first meeting following a general municipal election, shall choose one of its members as Mayor Pro Tem.
- B. Power. The Mayor Pro Tem shall serve in the place of the Mayor if, for any reason, the Mayor is absent or is unable to act. While acting as the Mayor, the Mayor Pro Tem has all of the powers and duties of the Mayor. The Mayor Pro Tem shall relinquish his/her acting authority when the Mayor returns or is able to act.
- C. Duties. The Mayor Pro Tem shall review payroll warrants and warrants in payment of budgeted demands prior to their presentation to the City Council for ratification and approval. Such warrants need not be audited by the City Council prior to payment.

(Ord. 99-791 Exh. A (part); prior code § 2-2.)

ORDINANCE NO. 20-990

AN ORDINANCE OF THE CITY COUNCIL OF THE CITY OF MONTCLAIR AMENDING CERTAIN SECTIONS OF CHAPTER 2.12 OF THE MONTCLAIR MUNICIPAL CODE AUTHORIZING AN ELECTRONIC FILING OPTION FOR CERTAIN DOCUMENTS REQUIRED TO BE FILED BY ELECTED OFFICERS, CANDIDATES, COMMITTEES, AND OTHER PERSONS OR ENTITIES IN RELATION TO GENERAL MUNICIPAL ELECTIONS IN THE CITY OF MONTCLAIR AND MAKING OTHER AMENDMENTS AND CORRECTIONS TO THE CODE IN RELATION THERETO

WHEREAS, California Government Code Section 84615 provides that a legislative body of a local government agency may adopt an ordinance that requires an elected officer, candidate, committee, or other person required to file statements, reports, or other documents required by Chapter 4 of the Political Reform Act to file such statements, reports, or other documents online or electronically with the City Clerk except for when such persons receive contributions totaling less than \$2,000 and make expenditures totaling less than \$2,000; and

WHEREAS, on May 18, 2020, the City entered into Agreement No. 20-36 with NetFile, a vendor approved by the California Secretary of State to provide an online electronic filing system (“System”) for Fair Political Practices Commission Campaign Disclosure Statements and Statement of Economic Interests forms; and

WHEREAS, the System will operate securely and effectively and will not unduly burden filers—specifically, the System will:

1. Ensure the integrity of the data and include safeguards against efforts to tamper with, manipulate, alter, or subvert the data;
2. Only accept a filing in the standardized record format developed by the Secretary of State and compatible with the Secretary of State’s system for receiving an online or electronic filing; and
3. Be available free of charge to filers and to the public for viewing filings; and

WHEREAS, the following additional errors have existed in the Montclair Municipal Code relating to elections and campaign responsibilities for some time and should be corrected:

1. Section 2.12.020 (A) Municipal Election. — Correction.

In 1991, in accordance with the City’s transition from holding stand-alone elections to consolidating with the County of San Bernardino, the City Council adopted Ordinance No. 91-703 to align the date of the City of Montclair’s General Municipal Election with the Statewide General Election.

Upon recodification of the Municipal Code in 1999, the existing language in the Code was to be updated to reflect the correct election date in the Code. The original outdated language, incorrectly stating Montclair’s General Municipal Elections are held the “second Tuesday in April,” was changed to “the second Tuesday in November” when it should have instead been corrected to “the first Tuesday after the first Monday in November;” and

2. Section 2.12.020 (D) Expenditure Ceiling. — Repeal.

Ordinance No. 97-773 enacting this section was adopted by the City Council on October 6, 1997 in response to the voters’ passage of California Proposition 208 (“Prop 208,” the Campaign Contributions and Spending Limits Initiative) at the November 5, 1996 statewide election, which would have done all of the following:

- a. Limited the amount of campaign contributions that an individual or group could make to a candidate for state and local elective offices;
- b. Prohibited lobbyists from making contributions;

- c. Established voluntary campaign spending limits;
- d. Limited when campaign fund-raising may occur; and
- e. Established penalties for violations of the measures and increased penalties for existing campaign law violations.

Prop 208 was only in place for a year before a federal judge declared it unconstitutional and suspended the measure in January of 1998. Supporters of Prop 208 appealed the decision.

The recodification document for the Montclair Municipal Code, adopted by Ordinance No. 99-791 on June 21, 1999, acknowledges the fact that Section 2.12.020 (D) may require repeal pending the outcome of the appeal of the federal court's Prop 208 decision, which was ultimately denied; however, the section of the code was never removed. The language of Section 2.12.020 (D) in the Montclair Municipal Code refers to "Chapter 5 of Title 9 of the Government Code,"—a section that no longer exists as part of the California Government Code due to the federal court's nullification of Prop 208.

NOW, THEREFORE, THE CITY COUNCIL OF THE CITY OF MONTCLAIR HEREBY ORDAINS AS FOLLOWS:

SECTION I. Section 2.12.020 of the Montclair Municipal Code is hereby amended to read as follows:

2.12.020 – General election – Elective officers, term, and electronic filing of campaign disclosure statements.

SECTION II. Section 2.12.020 (A) of the Montclair Municipal Code is hereby amended to read as follows:

A. Municipal election. A general municipal election shall be held on the first Tuesday after the first Monday in November of each even-numbered year and shall be consolidated with the statewide general election.

SECTION III. Section 2.12.020 (D) of the Montclair Municipal Code is hereby repealed and replaced as follows:

~~**D.** Expenditure Ceiling.~~

~~1. A voluntary expenditure ceiling of 25 cents per resident for each candidate at a Montclair municipal election at which candidates for Mayor or City Council are on the ballot is imposed.~~

~~2. Each candidate for the office of Mayor or City Council shall file a statement of acceptance or rejection of the voluntary expenditure ceiling before accepting any contributions.~~

~~3. Contribution limitations depend on whether or not the expenditure limit is accepted, and are pursuant to Chapter 5 of Title 9 of the Government Code.~~

D. Electronic filing of campaign disclosure statements.

1. Electronic statement filing option. Any elected officer, candidate, committee or other person or entity required to file statements, reports or other documents required by Government Code Section 84100 et seq. may file those statements, reports or other documents online or electronically with the City Clerk's electronic filing system.

2. Filing of copies electronically. In any instance in which an original statement, report or other document must be filed with the California Secretary of State and a copy of that statement, report or other document is required to be filed with the City Clerk, the filer may, but is not required to, file the copy online or electronically in the City Clerk's electronic filing system.

3. Opting in to electronic filing. Once an elected officer, candidate, committee, or other person or entity files a statement, report, or other document online or electronically pursuant to subsection (1), all future statements, reports, or other documents on behalf of that filer are required to be filed online or electronically in the City Clerk's electronic filing system, unless expressly permitted otherwise in writing by the City Clerk prior to the filing deadline.

4. If the City Clerk's electronic filing system is not capable of accepting a particular type of statement, report or other document, an elected officer, candidate, committee or other person shall file that document with the City Clerk in a paper format.

5. The date of filing for a statement, report, or other document that is filed online or electronically pursuant to this section shall be the day that it is received by the City Clerk's electronic filing system. The City Clerk's electronic filing system shall issue to a person who files a statement, report, or other document electronically an electronic confirmation that notifies the filer that the statement, report, or other document was received. The confirmation shall include the date and the time that the statement, report, or other document was received by the City Clerk's electronic filing system and the method by which the filer may view and print the data received by the City Clerk's electronic filing system.

SECTION IV. Severability. If any section, subsection, subdivision, paragraph, sentence, clause, or phrase of this Ordinance or any part thereof is for any reason held to be unconstitutional, such decision shall not affect the validity of the remaining portion of this Ordinance or any part thereof. The City Council hereby declares that it would have passed each section, subsection, subdivision, paragraph, sentence, clause, or phrase thereof, irrespective of the fact that any one or more sections, subsections, subdivisions, paragraphs, sentences, clauses, or phrases be declared unconstitutional.

SECTION V. Effective Date. This Ordinance shall be in full force and effect thirty (30) days after passage.

SECTION VI. Posting. The City Clerk shall certify to the passage of this Ordinance and cause the same to be posted pursuant to Government Code Section 36933.

APPROVED AND ADOPTED this XX day of XX, 2020.

Mayor

ATTEST:

City Clerk

I, Andrea M. Phillips, City Clerk of the City of Montclair, DO HEREBY CERTIFY that the foregoing is a true and correct copy of Ordinance No. 20-990 of said City, which was introduced at a regular meeting of the City Council held on the XX day of XX, 2020, and finally passed not less than five (5) days thereafter on the XX day of XX, 2020, by the following vote, to-wit:

AYES: XX
NOES: XX
ABSTAIN: XX
ABSENT: XX

Andrea M. Phillips
City Clerk



**City of Montclair
Schedule of Regular Public Meetings**

**Montclair Civic Center
5111 Benito Street
Montclair, California 91763**

Meeting Body	Date & Time	Location	Staff Contact
City Council	1 st & 3 rd Mondays* 7:00 p.m.	Council Chambers	City Clerk's Office (909) 625-9416
Planning Commission	2 nd & 4 th Mondays* 7:00 p.m.	Council Chambers	Community Development Dept. (909) 625-9477
Community Activities Commission	1 st Wednesdays (dark July & Aug.) 7:00 p.m.	Council Chambers	Human Services Department (909) 625-9450
Public Works Committee (Council Sub-committee)	3 rd Thursdays 4:00 p.m.	Conference Room	Public Works Department (909) 625-9478
Real Estate Committee (Council Sub-committee)	3 rd Mondays* 6:00 p.m.	Conference Room	Community Development Department (909) 625-9477
Code Enforcement/Public Safety Committee (Council Sub-committee)	3 rd Mondays 6:30 p.m.	Conference Room	Code Enforcement Division (909) 625-9437

Meetings that fall on holiday closures are generally rescheduled to the following business day.

For general questions and information about participation in public meetings, please contact the City Clerk at cityclerk@cityofmontclair.org or call (909) 625-9416 during City Hall's regular business hours of Monday through Thursday, 7:00 a.m. to 6:00 p.m.

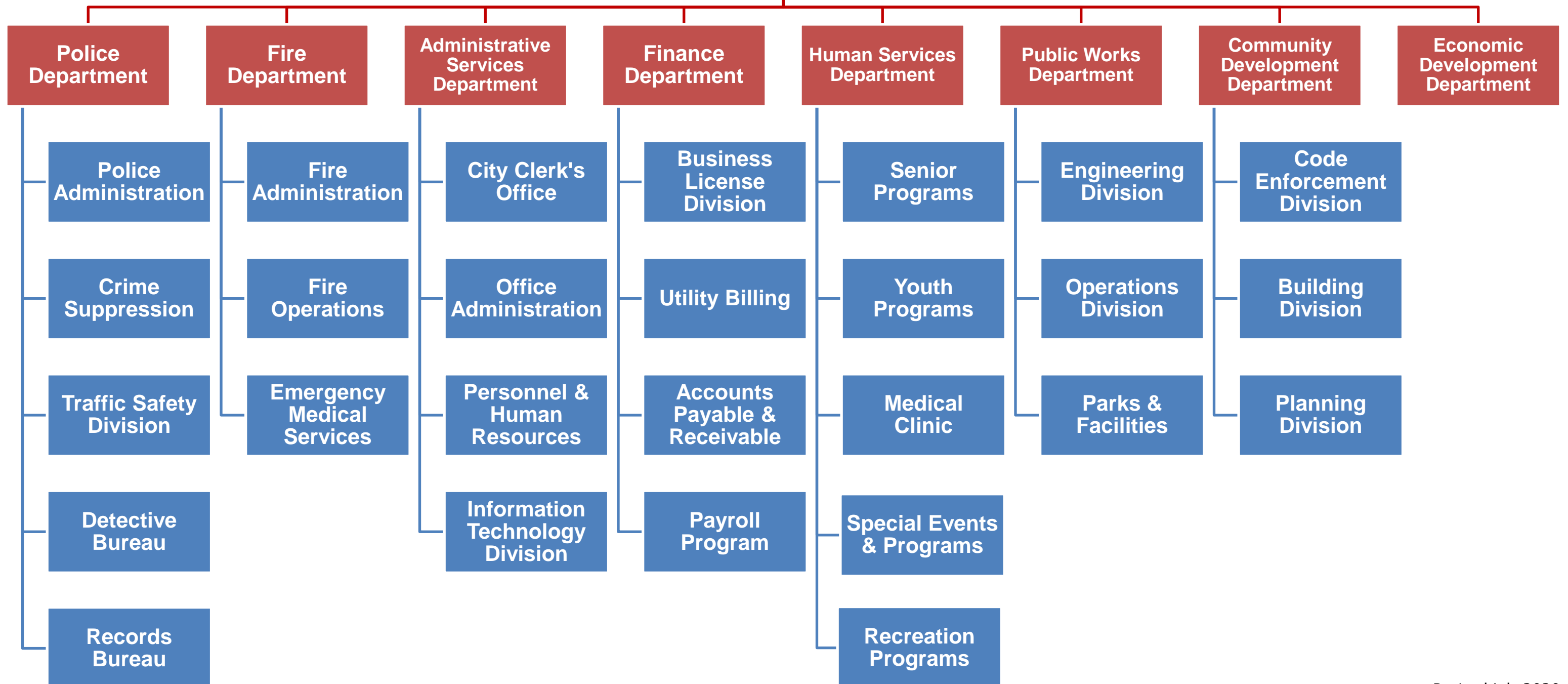


Montclair
City Council

ORGANIZATION CHART

City Attorney
(Contract)

City Manager's
Office





BECOMING A CANDIDATE

Qualifications for Candidacy. To qualify as a candidate for Member of the City Council, you must reside, and be registered to vote, within the jurisdiction at the time nomination papers are issued. More specifically, you must be (1) at least 18 years old; (2) a U.S. citizen; (3) a Montclair resident; (4) registered to vote in the City, and (5) you must not be on parole or serving time for a felony conviction.

Private Versus Public. Becoming a candidate for public office means that information about you will become a matter of public record immediately. With a few exceptions which are described in this handbook, this includes any and all documents submitted to the City during the course of the election. As such, these documents must, by law, be available to the public for inspection and/or duplication.

Filing Requirements. To become a candidate, you must first be issued a Nomination Paper that specifies the office you are seeking and provides a location for up to 30 registered Montclair voters to sign in support of your nomination. A number of additional forms are required to be filed as described below. Upon receipt, the City Clerk will submit the nomination paper to the San Bernardino County Elections Office of the Registrar of Voters to compare the names, addresses, and signatures on your nomination paper with voter registration records. At least 20 must match current records for you to qualify as a candidate. A signature may be disqualified if not in the voter's handwriting or if the voter has already nominated the maximum number of candidates eligible for the seat.

You may withdraw your Nomination Paper but only until the deadline for filing. Once you have filed the Nomination Paper, you may not make any changes to it. If you fail to qualify as a candidate, a Supplemental Nomination Paper could be issued to you, along with a photocopy of your nomination paper, which will show which signatures are valid and invalid. There is no extension of the regular Nomination Period filing deadline for a supplemental nomination paper. For this reason, it is a good idea to not wait until the last minute to submit your Nomination Paper.

Write-In Candidates. Write-in candidates must file a Statement of Write-In Candidacy (provided by the City Clerk), a Nomination Paper, and a Statement of Economic Interests (Form 700) during the period of September 7 through October 20, 2020. Signatures and voter registration information on the Nomination Paper would be verified in the same manner as a regular Nomination Paper. Write-in candidates' names do not appear on the ballot or in the Voter Information Guide.

Forms Required to be Filed No Later than 6:00 p.m. on Thursday, August 6, 2020:

- Nomination Paper
- Ballot Designation Worksheet
- Form 501 – Candidate Intention Statement
- Form 700 – Statement of Economic Interests

To have your Candidate Statement printed in the Voter Information Guide, submit the following:

- Candidate Statement Form and Deposit
- or
- Candidate Statement Decline Form

The following forms are optional:

- Candidate Profile
- Code of Fair Campaign Practices



CANDIDATE GUIDANCE AND ACKNOWLEDGMENT FOR ELECTRONIC ISSUANCE OF CANDIDATE DOCUMENTS

General Municipal Election – November 3, 2020

Pursuant to official guidance issued by the Secretary State on May 5, 2020, elections officials must provide clear written guidance to candidates regarding the requirement of submitting the candidate documents with original signatures to the elections official by the official close of the nomination period. The candidate must acknowledge receipt of the written guidance in the manner provided by the elections official.

Instructions for candidates:

1. Indicate acknowledgment of the guidance and requirements by signing and dating the form. Your original, handwritten signature on this document is required. Electronic signatures are not accepted.
2. Return this signed acknowledgment to the City Clerk's Office prior to your appointment to take out nomination papers. You may return the form by mail, in-person, via the utility bill drop box at City Hall, or send a scanned PDF of the signed form by email to cityclerk@cityofmontclair.org. The original document must be filed with the City Clerk along with other original documents required to be submitted before the filing deadline.

Most nomination documents requiring original signatures can be issued to the candidate via email or mail if requested in writing; however, the Nomination Paper, the document that must be signed by 20-30 residents in support of a candidate's nomination, cannot be emailed.

All nomination documents may be submitted electronically as scanned electronic PDF versions of the signed documents so the City Clerk may begin the review and verification process as soon as practicable; however, in order to be a qualified candidate for the office in which they seek, the completed documents with original signatures must be received by the City Clerk before the close of the nomination period for that particular office. Original candidate documents must be submitted to the City Clerk in a manner that will ensure that those original documents are physically in the possession of the City Clerk prior to the close of the nomination period (postmark is not accepted). Required candidate documents with original signatures submitted to or received by the City Clerk after the filing deadline for that office will not be accepted as filed.

I hereby acknowledge receipt of this information regarding required candidate documents from the Montclair elections official.

Printed Name of Candidate

Candidate's Signature

Date

The City Clerk must first verify your eligibility for candidacy and will then contact you to discuss the method by which you would like to be issued your nomination documents. Please provide your home address and preferred contact information below.

Address of Residence

Email Address

Telephone Number

Alt. Telephone Number

**GENERAL MUNICIPAL ELECTION OF NOVEMBER 3, 2020
MONTCLAIR, CALIFORNIA**

ACKNOWLEDGMENT OF RECEIPT OF CANDIDATE INFORMATION FROM CITY CLERK

I, _____, having been issued nomination documents for the office of _____ in the City of Montclair, California, acknowledge receipt of the following documents and information from the Office of the City Clerk:

Instructions: Please initial each item as documents and information are received from the City Clerk.

_____ 1. **Candidate Handbook** – Digital Version (Hard Copy Available for Purchase)

_____ 2. **Official Nomination Paper** – Hard Copy Only

I am a registered voter in the City of Montclair as of the date my Nomination Paper is issued to me.

I understand that any person who is registered to vote as of the date my Nomination Paper commences to be circulated may circulate my Nomination Paper; that not less than 20, nor more than 30, legally registered voters living in the City of Montclair must sign it; and that I must file my Nomination Paper by appointment with the City Clerk no later than 6:00 p.m. on Thursday, August 6, 2020, unless an incumbent does not file. In this instance, the nomination period for non-incumbents is extended to Wednesday, August 12, 2020, at 5:00 p.m.

I understand that if I plan to file my nomination documents in-person, I am required to schedule an appointment at least 24 hours in advance. I understand that the City Clerk's Office cannot accommodate more than one appointment during each two-hour period due to the City's COVID-19 pandemic health and safety protocols.

_____ 3. **FPPC Form 501*** – Candidate Intention Statement

This form must be completed and filed with the City Clerk's Office before I solicit or receive any contributions or before making expenditures from personal funds on behalf of my candidacy. I must file a separate Form 501 for each election, including reelection to the same office.

_____ 4. **FPPC Form 410*** – Statement of Organization

This committee registration statement is used to obtain a Campaign I.D. Number and identifies the purpose of the committee. Candidates use this form to report bank account information. The cover page of this form is used to terminate the committee's filing status. This form is also used to update Committee information. The Committee's name must include my (the Candidate's) name, the jurisdiction, the office sought, and the year of the election. (Ex: Justin Credible for Montclair City Council 2020)

I **must** register my committee (file the Form 410) within 10 days of "qualifying"—that is, receiving aggregate contributions of \$2,000 or more in a calendar year. A committee that qualifies during the 90 days before an election (in which it would be subject to pre-election statements) incurs 24-hour filing requirements. **When filing (or amending) the Form 410 for a newly-qualified Committee, I must include a \$50 payment made payable to the Secretary of State.** If my Committee has not yet reached the \$2,000 threshold and I choose to establish my Committee anyway, I must mark the "not yet qualified" box. The \$50 fee is *requested* at this time but is not legally required until the committee qualifies. I must submit an amendment within 10 days of my Committee qualifying with the date it qualified (along with the \$50 fee if not yet paid). Thereafter, the \$50 fee is due annually to the Secretary of State by January 15. An additional \$150 fine may be assessed by the Secretary of State if the fee is late.

If and when I terminate my Committee, I shall complete Page 1 of the Form 410 with the termination box checked and mail it to the Secretary of State, and with the City Clerk's Office I shall file a copy of the terminating 410 statement along with an original terminating Form 460 statement (with the termination box checked).

_____ **NOTE on Nos. 3 & 4:** I am *not* required to file the Candidate Intention Statement (Form 501) or the Statement of Organization (Form 410) if I am going to use **only** my personal funds **and** my only expenses will be the costs related to my Candidate Statement, if I choose to submit one. See No. 7 for additional filing requirements.

5. FPPC Form 460* – Campaign Disclosure Form

I understand that all registered committees must file three Campaign Statements by 11:59 p.m. on the following dates:

<u>Statement Filing Deadline</u>	<u>Description of Filing</u>
Thursday, September 24, 2020	First Pre-Election Statement Period Covered: July 1 – September 19, 2020
Thursday, October 22, 2020	Second Pre-Election Statement Period Covered: September 20 – October 17, 2020
Monday, February 1, 2021	Semiannual Campaign Statement Period Covered: October 18, 2020 – December 31, 2020

I understand that I am to file Form 460 Campaign Statements related to my candidacy electronically at www.cityofmontclair.org/campaign-filing; or in paper format with the City Clerk's Office via personal delivery during regular office hours of Monday through Thursday, 7:00 a.m. to 6:00 p.m. or via U.S. Mail post-marked on or before the filing deadline.

6. FPPC Forms 496 & 497* – 24-Hour Reports

I understand that any expenditures made or contributions received totaling \$1,000 or more 90 days prior to the election must be reported within 24 hours using Form 496 (24-hour Independent Expenditure Report) or 497 (24-hour Contribution Report), respectively. These forms may be filed electronically with the City Clerk's electronic filing system at www.cityofmontclair.org/campaign-filing; via personal delivery in paper format with the City Clerk's Office during regular office hours of Monday through Thursday, 7:00 a.m. to 6:00 p.m.; via email to cityclerk@cityofmontclair.org; via U.S. Mail with guaranteed overnight service; or via fax to (909) 621-1584. **NOTE:** These are the only forms that can be accepted via email because no signature is required; however, they must be sent from the email address listed on my campaign's last-filed Form 410.

7. FPPC Form 470* – Campaign Statement Short Form

This form is filed by officeholders and candidates who do not have a controlled Committee, do not receive contributions totaling \$2,000 or more during the calendar year, and do not spend \$2,000 or more during the calendar year. This form covers the calendar year and, after the initial filing, must be filed annually by January 31 of each year thereafter when any money is raised or spent during the prior calendar year. All candidates without a controlled committee must submit the Form 470 by the first pre-election filing deadline of September 24, 2020. Forms 410 and 460 do not need to be filed by Form 470 filers.

<u>Statement Filing Deadline</u>	<u>Description of Filing</u>
When Form 501 is Filed	Initial Filing — When filing a Form 501 indicating intent to solicit contributions outside personal funds, a Form 470 or 410 must also be filed.
Thursday, September 24, 2020	Initial Filing — This is the initial Form 470 filing deadline if a Form 501 was not filed for this election.
Monday, February 1, 2021	Annual Filing — Only required if funds were raised or spent in prior calendar year related to filer's candidacy.

I understand that I am to file Form 470 Short Forms related to my candidacy on or before 11:59 p.m. on the filing deadline electronically at www.cityofmontclair.org/campaign-filing; or in paper format with the City Clerk's Office via personal delivery during regular office hours of Monday through Thursday, 7:00 a.m. to 6:00 p.m. or via U.S. Mail post-marked on or before the filing deadline.

8. FPPC Form 700* – Statement of Economic Interests

I am hereby directed to Section 87201 of the Government Code, which requires that a Statement of Economic Interests disclosing my investments and my interests in real property be filed at the time my Nomination Papers are filed with the City Clerk's Office. This may be done electronically through the City Clerk's electronic filing system at www.cityofmontclair.org/form700.

9. Code of Fair Campaign Practices Form*

I understand that endorsement of the Code of Fair Campaign Practices is voluntary and that information regarding this Code is available for public inspection in the City Clerk's Office until 30 days after the election.

_____ 10. **Ballot Designation Worksheet***

I am hereby directed to Section 13107.3 of the Elections Code, which requires that each person who submits a ballot designation shall file, in addition to the Nomination Papers, a Ballot Designation Worksheet that supports the use of that ballot designation by the candidate.

_____ 11. **Candidate Statement Form*, Information Sheet and Guidelines, Statement of Financial Worth*, and Candidate Statement Withdrawal Form***

I understand that I may prepare a Candidate Statement for inclusion in the Sample Ballot on the form issued by the Office of the City Clerk, and I will be required to pay a fee for such statement equal to my pro rata share of the printing costs. A deposit based on the estimated cost of \$_____ is due and payable at the time my Nomination Documents are filed in the Office of the City Clerk. Following the Election, the City Clerk's Office will be notified of actual printing costs for the Candidate Statements; I will then be informed of the actual cost, at which time I will either receive a refund or pay any additional costs associated with my Candidate Statement.

I understand that a candidate may withdraw, but not amend, his/her Candidate Statement after filing it with the City Clerk's Office, any time prior to 5:00 p.m. of the next working day after the close of the nomination period.

_____ 12. **Candidate Profile Form ***

I understand that submission of the Candidate Profile is voluntary. Its purpose is to provide information to members of the press, service clubs, or anyone else requesting information about candidates. **I am to provide only the information I wish to be made available to the public.**

_____ 13. **Campaign Disclosure Manual 2 – June 2020 ****

_____ 14. **Political Sign Guidelines – City of Montclair* & Department of Transportation***

_____ 15. **Mass Mailing Notice – Government Code Section 84305**

_____ 16. **Election Documents and Forms ***

* Digital files will be provided via E-mail or USB that can be filled out electronically and printed for signature.

** FPPC documents (manual & forms) can be downloaded at <http://www.fppc.ca.gov/forms.html> and <http://www.fppc.ca.gov/forms/all-fppc-manuals.html>. Forms do not need to be used for those who e-file.



If you would like a printed version of FPPC Manual 2 and/or the Candidate Handbook, these documents may be purchased from the City Clerk for their printing cost.

I understand that this acknowledgement provides a courtesy overview of baseline filing obligations for running a transparent campaign and does not necessarily include every form that is required by the FPPC in all situations that may arise during my campaign; that I must comply with FPPC regulations and meet all filing requirements pursuant to the Political Reform Act; and that it is *my* responsibility to ensure the correct forms are filed timely and in the correct manner.

Signature of Candidate

Andrea M. Phillips, City Clerk

Date: _____

Date: _____



State of California

ELECTIONS CODE

Section 10220

10220. Candidates may be nominated for any of the elective offices of the city in the following manner:

Not earlier than the 113th day nor later than the 88th day before a municipal election during normal office hours, as posted, the voters may nominate candidates for election by signing a nomination paper. Each candidate shall be proposed by not less than 20 nor more than 30 voters in a city of 1,000 registered voters or more, and not less than five nor more than 10 voters in a city of less than 1,000 registered voters, but only one candidate may be named in any one nomination paper. No voter may sign more than one nomination paper for the same office, and in the event the voter does so, that voter's signature shall count only on the first nomination paper filed which contains the voter's signature. Nomination papers subsequently filed and containing that voter's signature shall be considered as though that signature does not appear thereon. Each seat on the governing body is a separate office. Any person who meets the requirements of Section 102 may circulate a nomination paper. Only one person may circulate each nomination paper. Where there are full terms and short terms to be filled, the term shall be specified in the nomination paper.

(Amended by Stats. 2013, Ch. 278, Sec. 25. (SB 213) Effective January 1, 2014.)



State of California

ELECTIONS CODE

Section 10220.5

10220.5. Notwithstanding any other provision of law, 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.

(Added by Stats. 2006, Ch. 508, Sec. 6. Effective January 1, 2007.)

State of California

ELECTIONS CODE

Section 10221

10221. (a) Except as provided in subdivision (b), the signatures to each nomination paper shall be appended on the same sheet of paper, and each signer shall add his or her place of residence, giving the street and number, if any, or another designation of his or her place of residence, so as to enable its location to be readily ascertained.

(b) Once a nomination paper is filed with the elections official, the nomination paper may not be returned to the candidate to obtain additional signatures. If the nomination paper is determined to be insufficient or the candidate fails to obtain the correct number of valid signatures on his or her nomination paper, the elections official shall retain the original nomination paper, provide a copy of the nomination paper to the candidate with an indication on of which signatures are valid, and issue one supplemental petition to the candidate on which the candidate may collect additional signatures. The supplemental petition shall be filed not later than the last day for filing for that office. The form of the supplemental petition shall be the same as the nomination paper, except that the word "Supplemental" shall be inserted above the phrase "Nomination Paper."

(Amended by Stats. 2004, Ch. 785, Sec. 4. Effective January 1, 2005.)



State of California

ELECTIONS CODE

Section 10222

10222. Every nomination paper shall have annexed an affidavit of the person who circulated it, to the effect that he or she saw written all the signatures appended thereto, and knows that they are the signatures of the persons whose names they purport to be.

(Enacted by Stats. 1994, Ch. 920, Sec. 2.)



State of California

ELECTIONS CODE

Section 10223

10223. Each nomination paper shall be accompanied by a verified statement of the candidate that he or she will accept the nomination, and will also accept the office in the event of his election. The statement shall contain a blank space wherein the candidate shall be required to fill in his or her name in the manner in which he or she wishes the same to appear on the ballot and also the designation which he or she wishes to have under his or her name on the ballot, which designation shall conform to one of the designations permitted under this code relating to the forms of ballots generally.

(Enacted by Stats. 1994, Ch. 920, Sec. 2.)



State of California

ELECTIONS CODE

Section 10224

10224. All nomination papers shall be filed with the city elections official during regular business hours as posted, not later than the 88th day before the election. Until that time, but not after, a candidate may withdraw his or her nomination paper after it is filed with the elections official as provided in this section.

(Enacted by Stats. 1994, Ch. 920, Sec. 2.)



State of California

ELECTIONS CODE

Section 10225

10225. (a) Notwithstanding Sections 10220 and 10224, if nomination papers for an incumbent officer of the city are not filed by or on the 88th day before the election, during normal business hours, as posted, the voters shall have until the 83rd day before the election during normal business hours, as posted, to nominate candidates other than the person who was the incumbent on the 88th day, for that incumbent's elective office.

(b) This section is not applicable where there is no incumbent eligible to be elected. If this section is applicable, notwithstanding Section 10224, a candidate may withdraw his or her nomination paper until the 83rd day before the election during normal business hours, as posted.

(Amended by Stats. 2006, Ch. 538, Sec. 153. Effective January 1, 2007.)



State of California

ELECTIONS CODE

Section 10226

10226. The nomination papers and affidavits shall be substantially in the following form:

“NOMINATION PAPER

We, the undersigned voters of the ____ of ____ hereby nominate ____ for the office of ____ of the city:

Name	Residence
_____	_____
_____	_____
_____	_____

AFFIDAVIT OF THE CIRCULATOR

State of California }
County of _____ } ss.

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 _____, 2__, and _____, 2__; 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.

(Signature)

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 ____, 2__.

AFFIDAVIT OF THE NOMINEE

State of California }
County of _____ } ss.

_____ 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:

(Print name above),

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

(Print desired designation above),

and that his or her residence address is _____.

(Print residence address as provided by affiant)

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 ____, 2__.”

(Amended by Stats. 2013, Ch. 278, Sec. 26. (SB 213) Effective January 1, 2014.)



State of California

ELECTIONS CODE

Section 10227

10227. All forms required for nomination and election to all municipal offices shall be furnished only by the city elections official during regular business hours. At the time of issuance of those forms the city elections official shall type in the forms the name of the candidate and the office for which he is a candidate, shall imprint a stamp which reads "Official Filing Form," and shall affix his or her signature. At the time nomination papers are issued to a candidate, the city elections official shall imprint the date. The forms shall be distributed without charge to all candidates applying for them.

(Enacted by Stats. 1994, Ch. 920, Sec. 2.)



State of California

ELECTIONS CODE

Section 10228

10228. A filing fee proportionate to the costs of processing a candidate's nomination papers or a candidate's supplemental nomination papers filed pursuant to subdivision (b) of Section 10221 as determined by the city council and set by ordinance, but not exceeding twenty-five dollars (\$25), may be imposed, to be paid upon the filing of the nomination papers.

(Amended by Stats. 2004, Ch. 785, Sec. 6. Effective January 1, 2005.)

State of California

ELECTIONS CODE

Section 10229

10229. (a) If, by the 88th day, during normal business hours as posted, prior to the day fixed for a regularly scheduled municipal election or the 83rd day before the election, during normal business hours as posted, if an incumbent fails to file pursuant to Section 10225, (i) no one or only one person has been nominated for any office that is elected on a citywide basis, or (ii) no one or only one person is nominated to be elected from or by a legislative district, or (iii) in the case of any office or offices to be elected at large, the number of persons who have been nominated for those offices does not exceed the number to be filled at that election; or, if, by the 88th day, during normal business hours as posted, before a municipal election to fill any vacancy in office, no one or only one person has been nominated for any elective office to be filled at that election, and the election is subject to Section 36512 of the Government Code, the city elections official shall submit a certificate of these facts to the governing body of the city and inform the governing body of the city that it may, at a regular or special meeting held before the municipal election, adopt one of the following courses of action:

- (1) Appoint to the office the person who has been nominated.
- (2) Appoint to the office an eligible elector if no one has been nominated.
- (3) Hold the election, if either no one or only one person has been nominated. The city elections official shall publish a notice of the facts described in this section and the courses of action available under this subdivision. Publication shall be made pursuant to Section 6061 of the Government Code in any newspaper of general circulation as designated by the city elections official.

After the fifth day following the date of posting or publication, the governing body of the city may make the appointment or direct an election to be held in the affected territory. The person appointed, if any, shall qualify and take office and serve exactly as if elected at a municipal election for the office.

Notwithstanding Section 10403, if, by the 75th day before the municipal election, no person has been appointed to office pursuant to paragraph (1) or (2), the election shall be held.

(b) Subdivision (a) shall not apply if, at the regularly scheduled municipal election, more than one person has been nominated to another city office to be elected on a citywide basis or a city measure has qualified and is to be submitted to the voters at that municipal election.

(c) Notwithstanding Chapter 1 (commencing with Section 8600) of Part 3 of Division 8, or any other provision of the law to the contrary, if the governing body of a city makes an appointment pursuant to subdivision (a), the elections official shall

not accept for filing any statement of write-in candidacy that is submitted after the appointment is made.

(d) Nothing in this section shall be construed to prevent a city from enacting an ordinance pursuant to Section 36512 of the Government Code, requiring that a special election be held, or from enacting an ordinance pursuant to Section 36512 of the Government Code, providing that a person appointed to fill a vacancy on the city council shall hold office only until the date of the special election, or both. Any ordinance or ordinances may allow for appointment consistent with subdivision (a) without requiring or providing for a special election.

If an appointment to office is made in a particular legislative district pursuant to subdivision (a), that appointment shall not affect the conduct of the municipal election in other legislative districts of the city.

(Amended by Stats. 2009, Ch. 549, Sec. 3. (AB 1574) Effective January 1, 2010.)



Nomination Paper

Candidates for City Offices
(Elections Code § 100, 104, and 8600; Code of Civil Procedure § 2015.5)

OFFICIAL FILING FORM

Andrea M. Phillips, City Clerk

Date Issued: _____ Date Filed: _____

A minimum of twenty (20) valid signatures are required from voters registered at their primary residence in the City of Montclair. Each individual's signature will only qualify on the first nomination petition on which it appears, based on when received by the City. Each resident must personally and legibly write their name and address in their own hand. The validity of all signatures and voter status are verified by the Elections Office of the San Bernardino County Registrar of Voters.

We, the undersigned voters of the City of Montclair, hereby nominate _____ for the office of Council Member of the City of Montclair for a term of ____ years to be voted for at the General Municipal Election to be held on Tuesday, November 3, 2020.

Column for Official Use Only

Sign Name: 1..... Print Name:	Residence address only: City:	
Sign Name: 2..... Print Name:	Residence address only: City:	
Sign Name: 3..... Print Name:	Residence address only: City:	
Sign Name: 4..... Print Name:	Residence address only: City:	
Sign Name: 5..... Print Name:	Residence address only: City:	
Sign Name: 6..... Print Name:	Residence address only: City:	
Sign Name: 7..... Print Name:	Residence address only: City:	
Sign Name: 8..... Print Name:	Residence address only: City:	
Sign Name: 9..... Print Name:	Residence address only: City:	
Sign Name: 10..... Print Name:	Residence address only: City:	
Sign Name: 11..... Print Name:	Residence address only: City:	
Sign Name: 12..... Print Name:	Residence address only: City:	

NOT OFFICIALLY ISSUED DOCUMENT

Sign Name: 13..... Print Name:	Residence address only: City:	
Sign Name: 14..... Print Name:	Residence address only: City:	
Sign Name: 15..... Print Name:	Residence address only: City:	
Sign Name: 16..... Print Name:	Residence address only: City:	
Sign Name: 17..... Print Name:	Residence address only: City:	
Sign Name: 18..... Print Name:	Residence address only: City:	
Sign Name: 19..... Print Name:	Residence address only: City:	
Sign Name: 20..... Print Name:	Residence address only: City:	
Sign Name: 21..... Print Name:	Residence address only: City:	
Sign Name: 22..... Print Name:	Residence address only: City:	
Sign Name: 23..... Print Name:	Residence address only: City:	
Sign Name: 24..... Print Name:	Residence address only: City:	
Sign Name: 25..... Print Name:	Residence address only: City:	
Sign Name: 26..... Print Name:	Residence address only: City:	
Sign Name: 27..... Print Name:	Residence address only: City:	

NOT OFFICIALLY
ISSUED DOCUMENT

Sign Name: 28..... Print Name:	Residence address only: City:	
Sign Name: 29..... Print Name:	Residence address only: City:	
Sign Name: 30..... Print Name:	Residence address only: City:	

Circulator: Please Complete Affidavit of Circulator below.

AFFIDAVIT OF CIRCULATOR

(To be completed in circulator's own hand)

I, _____, solemnly swear (or affirm) all of the following:
Print name of circulator

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 section of the nomination paper were obtained between _____
Month Day Year

and _____; that I circulated the petition and I witnessed the signatures on this section of the
Month Day Year
 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 under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on _____ at _____, California.
Date City

 Circulator's Signature

CANDIDATE'S PERSONAL INFORMATION

 Candidate's Name

 Day Phone

 Candidate's Residence Address

 Evening Phone

 Mailing Address (if different than above)

 Website

 City State Zip

 Email Address

DECLARATION OF CANDIDACY

I, _____, do hereby declare myself as a candidate for election to the office of City Council Member for a Full Term of four years / Partial Term of two years. I am a registered voter. If elected, I will qualify and accept the office and serve to the best of my ability. I request my name to be placed on the official ballot of the City of Montclair's General Municipal Election to be held on November 3, 2020.

I request my name to appear on the ballot as follows:

_____	_____	_____
First	Middle	Last
My current residence address is: _____		
_____	_____	_____
Street	City, State	Zip
My mailing address (if different) is: _____		
_____	_____	_____
Street	City, State	Zip
My contact information is: _____		
_____	_____	_____
Residence Phone	Business Phone	Other Phone

E-mail		

BALLOT DESIGNATION

- I request that a ballot designation appear on the ballot under my name. A ballot designation is optional. If one is requested, a completed *Ballot Designation Worksheet* must be submitted. I request my ballot designation to appear on the ballot as follows (please write legibly and in ALL CAPS):

- I decline to have a ballot designation appear on the ballot under my name.

OATH OF AFFIRMATION OF ALLEGIANCE

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.

Signature of Officer Administering Oath

Signature of Candidate

AFFIDAVIT OF NOMINEE

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct. I am aware that any person who files or submits for filing the Declaration of Candidacy knowing that it or any part of it has been made falsely is punishable by a fine or imprisonment, or both, as set forth in section 18203 of the Elections Code.

Executed on _____, 2020 at _____, California.

Signature of Candidate

**MONTCLAIR, CALIFORNIA
GENERAL MUNICIPAL ELECTION
NOVEMBER 3, 2020**

CANDIDATE PROFILE

Name: _____

Address: _____

Place of Business: _____

Home Phone: _____ Business Phone: _____

Cellular Phone: _____ E-Mail: _____

Best Time/Location to be Contacted: _____

I understand submittal of this form is voluntary, and I authorize the City Clerk's Office to make the information contained herein available to the public upon request.

Optional: I also authorize the information to be posted on the City's website. Initial: _____

Date: _____

Candidate's signature

ATTEST:

Andrea M. Phillips
City Clerk

CODE OF FAIR CAMPAIGN PRACTICES

(ELECTIONS CODE § 20440)

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

THEREFORE:

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

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

Print Name

Signature

Date

Office

CITY OF MONTCLAIR

CHECKLIST FOR FILING OF NOMINATION DOCUMENTS

1. **Nomination Paper**

To be signed by not less than 20, nor more than 30, qualified registered voters.

2020 COVID-19 Safety Protocol: The execution of this document requires the Candidate to take an oath verbally before the Elections Official; however, if choosing to submit original signed nomination documents via mail or drop-off rather than making an in-person appointment with the City Clerk, candidates may take the oath in the presence of a notary or, alternatively, by the City Clerk over a live video conferencing service. The document may be transmitted electronically to the City Clerk for early processing, but the original must be received by the City Clerk by the close of the nomination period.

2. **Form 501 — Candidate Intention Statement**

To be completed and filed with the City Clerk's Office before soliciting/receiving any contributions or before making expenditures from personal funds on behalf of my candidacy. A separate Form 501 must be filed for each election.

3a. **Form 410* — Statement of Organization for Campaign Committee (Optional)**

This form is used to register, amend, or terminate your candidate campaign committee and report your committee's officer, contact, and bank account information. This form is only required after raising or spending \$2,000 in relation to your candidacy.

3b. **Form 470* — Officeholder & Candidate Campaign Statement Short Form (Optional)**

This form is used by officeholders and candidates who do not have a controlled committee (*i.e.* have not filed a Form 410) and do not anticipate receiving contributions or spending funds totaling \$2,000 or more during the calendar year. The deadline to file this form is the first Pre-Election Statement deadline (Sept. 24, 2020). If, after filing the Form 470, receipts or expenditures reach \$2,000 or more, file a Form 470 supplement and review the instructions for additional reporting requirements, including the filing of a Form 410.

4. **Form 700** — Statement of Economic Interests**

Complete the schedules disclosing investments, interests in real property within the City of Montclair, and any income received during the immediately preceding 12 months prior to the date of filing.

5. **Code of Fair Campaign Practices Statement (Optional)**

Whether or not you sign this statement is public information.

6. **Ballot Designation Worksheet (Optional)**

Submittal of this document is only required if you choose to submit a ballot designation. The worksheet supports the use of the ballot designation.

7. **Candidate Statement (Optional***) with Deposit**

This is the document that is reproduced in the Sample Ballot (also called the Voter Information Guide) mailed to all registered voters in the City. Submittal of this document is optional. Please submit to the City Clerk a printed, ink-signed paper Candidate Statement as well as a digital copy via email to cityclerk@cityofmontclair.org.

The Candidate Statement may be withdrawn any time prior to 5:00 p.m. of the next working day after the close of the nomination period, but cannot be changed.

8. **Candidate Profile (Optional)**

If you choose to submit this profile, please only include information you wish to be made public. The public (including residents and the press) may contact you about your candidacy, in addition to advertisers for campaign-related activities.

9. **Political Sign Guidelines — City of Montclair & Dept. of Transportation**

The City of Montclair requests that candidates follow guidelines for posting political signs in the City related to the General Municipal Election. The California Department of Transportation requires that candidates sign a statement of responsibility related to political sign posting and mail it to their office.

* Form may be completed and submitted using the City's electronic campaign filing system at www.cityofmontclair.org/campaign-filing. However, the Form 410 must also be printed, signed, and submitted by mail to the Secretary of State.

** Form may be completed and submitted using the City's electronic Form 700 SEI filing system at www.cityofmontclair.org/form700.

*** Candidates wishing to not submit a Candidate Statement must sign and submit the Candidate Statement Decline Form.

State of California

ELECTIONS CODE

Section 13107

13107. (a) With the exception of candidates for Justice of the State Supreme Court or court of appeal, immediately under the name of each candidate, and not separated from the name by any line, unless the designation made by the candidate pursuant to Section 8002.5 must be listed immediately below the name of the candidate pursuant to Section 13105, and in that case immediately under the designation, may appear at the option of the candidate only one of the following designations:

(1) Words designating the elective city, county, district, state, or federal office which the candidate holds at the time of filing the nomination documents to which he or she was elected by vote of the people.

(2) The word “incumbent” 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.

(3) No more than three words designating either the current principal professions, vocations, or occupations of the candidate, or the principal professions, vocations, or occupations of the candidate during the calendar year immediately preceding the filing of nomination documents.

(4) The phrase “appointed incumbent” if the candidate holds an office by virtue of appointment, and the candidate is a candidate for election to the same office, or, if the candidate is a candidate for election to the same office or to some other office, the word “appointed” and the title of the office. In either instance, the candidate may not use the unmodified word “incumbent” or any words designating the office unmodified by the word “appointed.” However, the phrase “appointed incumbent” shall not be required of a candidate who seeks reelection to an office which he or she holds and to which he or she was appointed, as a nominated candidate, in lieu of an election, pursuant to Sections 5326 and 5328 of the Education Code or Section 7228, 7423, 7673, 10229, or 10515 of this code.

(b) (1) Except as specified in paragraph (2), for candidates for judicial office, immediately under the name of each candidate, and not separated from the name by any line, only one of the following designations may appear at the option of the candidate:

(A) Words designating the city, county, district, state, or federal office held by the candidate at the time of filing the nomination documents.

(B) The word “incumbent” if the candidate is a candidate for the same office that he or she holds at the time of filing the nomination papers.

(C) 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.

(2) For a candidate for judicial office who is an active member of the State Bar employed by a city, county, district, state, or by the United States, the designation shall appear as one of the following:

(A) Words designating the actual job title, as defined by statute, charter, or other governing instrument.

(B) One of the following ballot designations: "Attorney," "Attorney at Law," "Lawyer," or "Counselor at Law." The designations "Attorney" and "Lawyer" may be used in combination with one other current principal profession, vocation, or occupation of the candidate, or the principal profession, vocation, or occupation of the candidate during the calendar year immediately preceding the filing of nomination documents.

(3) A designation made pursuant to subparagraph (A) of paragraph (1) or paragraph (2) shall also contain relevant qualifiers, as follows:

(A) If the candidate is an official or employee of a city, the name of the city shall appear preceded by the words "City of."

(B) If the candidate is an official or employee of a county, the name of the county shall appear preceded by the words "County of."

(C) If the candidate is an official or employee of a city and county, the name of the city and county shall appear preceded by the words "City and County."

(D) If the candidate performs quasi-judicial functions for a governmental agency, the full name of the agency shall be included.

(c) A candidate for superior court judge who is an active member of the State Bar and practices law as one of his or her principal professions shall use one of the following ballot designations as his or her ballot designation: "Attorney," "Attorney at Law," "Lawyer," or "Counselor at Law." The designations "Attorney" and "Lawyer" may be used in combination with one other current principal profession, vocation, or occupation of the candidate, or the principal profession, vocation, or occupation of the candidate during the calendar year immediately preceding the filing of nomination documents.

(d) 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 United States 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.

(e) The Secretary of State and any other elections official shall not accept a designation of which any of the following would be true:

(1) It would mislead the voter.

(2) It would suggest an evaluation of a candidate, such as outstanding, leading, expert, virtuous, or eminent.

(3) It abbreviates the word "retired" or places it following any word or words which it modifies.

(4) It uses a word or prefix, such as “former” or “ex-,” which means a prior status. The only exception is the use of the word “retired.”

(5) It uses the name of any political party, whether or not it has qualified for the ballot.

(6) It uses a word or words referring to a racial, religious, or ethnic group.

(7) It refers to any activity prohibited by law.

(f) If, upon checking the nomination documents and the ballot designation worksheet described in Section 13107.3, the elections official finds the designation to be in violation of any of the restrictions set forth in this section, the elections official shall notify the candidate by registered or certified mail return receipt requested, addressed to the mailing address provided on the candidate’s ballot designation worksheet.

(1) The candidate shall, within three days, excluding Saturday, Sunday, and state holidays, from the date he or she receives notice by registered or certified mail, or from the date the candidate receives actual notice of the violation, whichever occurs first, appear before the elections official or, in the case of the Secretary of State, notify the Secretary of State by telephone, and provide a designation that complies with subdivision (a) or (b).

(2) If a candidate fails to provide a designation that complies with subdivision (a) or (b) within the three-day period specified in paragraph (1), a designation shall not appear after the candidate’s name.

(g) A designation given by a candidate shall not be changed by the candidate after the final date for filing nomination documents, except as specifically requested by the elections official as specified in subdivision (f) or as provided in subdivision (h). The elections official shall maintain a copy of the ballot designation worksheet for each candidate that appears on the ballot in the county for the same period of time as applied to nomination documents pursuant to Section 17100.

(h) The designation shall remain the same for all purposes of both primary and general elections, unless the candidate, at least 98 days before the general election, requests in writing a different designation which the candidate is entitled to use at the time of the request.

(i) In all cases, the words so used shall be printed in a manner consistent with the space requirements of Sections 13207 and 13211.

(j) If a foreign language translation of a candidate’s designation is required under the federal Voting Rights Act of 1965 (52 U.S.C. Sec. 10101 et seq.), as amended, to appear on the ballot in addition to the English language version, it shall be as short as possible, as consistent as is practicable with this section, and shall employ abbreviations and initials wherever possible in order to avoid undue length.

(Amended by Stats. 2018, Ch. 57, Sec. 3. (AB 2835) Effective January 1, 2019.)

OFFICIAL CALIFORNIA CODE OF REGULATIONS

Title 2

Administration

Division 7

Secretary of State

Chapter 7

Ballot Designation

§ 20710. General Provisions.

(a) The regulatory purpose of this Chapter is to ensure the accurate designation of the candidate upon the ballot in order that an informed electorate may intelligently elect one of the candidates.

(b) The Secretary of State shall, at all times, apply and interpret the provisions of Elections Code § 13107 and the regulations included in this Chapter in a manner consistent with the regulatory purpose of this Chapter.

(c) Candidates are not required to use a ballot designation pursuant to Elections Code s 13107, subdivision (a), and may opt to leave the space for such a designation on the ballot blank. In order to notify the elections official as to whether he or she will use a ballot designation or will opt to leave the ballot designation space blank, the candidate must initial the appropriate box on the Declaration of Candidacy or otherwise so indicate on the Declaration of Candidacy.

(d) Pursuant to Elections Code s 13107, subdivision (a), a candidate may submit a proposed ballot designation pursuant to any one of the four provisions specified in Elections Code § 13107, subdivision (a), subparts (1) through (4), applicable to that candidate. The candidate shall be free to select from which of the applicable four subparts he or she is submitting his or her proposed ballot designation.

(e) The regulations set forth in this Chapter shall apply only to elections held for offices for which elections returns are certified by the Secretary of State of the State of California.

(f) Whenever, the word "should" is used in this Chapter, it is recommended, not mandatory.

Note: Authority cited: Section 12172.5, Government Code. Reference: Section 13107, Elections Code.

HISTORY

1. New chapter 7 (sections 20710-20719) and section filed 1-14-98; operative 1-14-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 3).

§ 20711. Ballot Designation Worksheet.

(a) In order to facilitate review of a candidate's proposed ballot designation by the Secretary of State pursuant to Elections Code § 13107, the candidate shall submit, at the time of filing his or her proposed ballot designation on the Declaration of Candidacy, a completed Ballot Designation Worksheet on a form provided by the Secretary of State.

(b) All Ballot Designation Worksheets filed with the Office of the Secretary of State or the county elections officials pursuant to this section shall be public records and shall be available for inspection and copying at the public counter of the Elections Division of the Office of the Secretary of State, Fifth Floor, 1500 11th Street, Sacramento, California 95814, or at the office of the applicable county elections official.

(c) The Secretary of State shall provide a master copy or copies of the Ballot Designation Worksheet to all elections officials responsible for providing and accepting the nomination documents for candidates in elections for offices certified by the Secretary of State. The Ballot Designation Worksheet shall request that the candidate proposing the ballot designation provide the following information:

(1) The candidate's name, home, business and mailing addresses, telephone numbers, e-mail address, if available, and fax number;

- (2) A designation of the office for which the candidate is seeking election;
- (3) The name, home, business and mailing addresses, telephone numbers, e-mail address, if available, and fax number of the attorney representing the candidate or for any other person to be contacted in the event the Secretary of State requires further information regarding the proposed ballot designation;
- (4) The proposed ballot designation submitted by the candidate;
- (5) The candidate may submit one or more proposed alternate ballot designations ranked in order of the candidate's preference;
- (6) A brief statement identifying the factual basis upon which the candidate claims the proposed ballot designation and each proposed alternate ballot designation, including the following:
- (A) If the candidate holds elected office and is submitting his or her proposed ballot designation pursuant to Elections Code § 13107, subdivisions (a)(1) or (a)(2), the candidate shall indicate the elective office he or she currently occupies and may attach a copy of his or her Certificate of Election;
- (B) If the candidate is a judicial officer and is submitting his or her proposed ballot designation pursuant to Elections Code § 13107, subdivisions (a)(1) or (a)(2), the candidate shall indicate the elective office he or she currently holds and may attach either (A) a copy of his or her Certificate of Election or (B) a copy of his or her commission or certificate of appointment, issued at the time the candidate was appointed to the judicial office which he or she currently occupies;
- (C) If the candidate submits a ballot designation pursuant to Elections Code § 13107, subdivision (a)(3), the candidate shall indicate:
- (i) The title of the position or positions which he or she claims supports the proposed ballot designation;
 - (ii) The dates during which the candidate held such position;
 - (iii) A description of the work he or she performs in the position;
 - (iv) The name of the candidate's business or employer;
 - (v) The name and telephone number of a person or persons who could verify such information; and
 - (vi) A statement that the professions, vocations or occupations relied upon to support the proposed ballot designation constitute the primary, main or leading professions, vocations or occupations of the candidate, in accordance with the definition of the term "principal" as set forth at § 20714, subdivision (b).
- (D) If the candidate submits a ballot designation pursuant to Elections Code § 13107, subdivision (a)(4), the candidate shall indicate the date on which he or she was appointed to the office for which he or she is an appointed incumbent.
- (d) The candidate may attach or append any supporting documents or other exhibits to his or her Ballot Designation Worksheet which he or she believes support his or her proposed ballot designation. Such attached documents or other exhibits shall be deemed to be incorporated by reference as part of the candidate's Ballot Designation Worksheet and shall be considered as such by the Secretary of State.
- (e) If a candidate requests a change of his or her ballot designation pursuant to Elections Code § 13107(e), that request shall be accompanied by a Ballot Designation Worksheet.
- Note: Authority Authority cited: Section 12172.5, Government Code. Reference: Sections 13107 and 13107.3, Elections Code.

HISTORY

1. New section filed 1-14-98; operative 1-14-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 3).
2. Amendment of subsections (a), (c)(5), (c)(6)(A)-(C) and (c)(6)(D), new subsection (e) and amendment of Note filed 12-21-2009; operative 12-21-2009 pursuant to Government Code section 11343.4 (Register 2009, No. 52).

§ 20712. Proposed Ballot Designations Submitted Pursuant to Elections Code § 13107, Subdivision (a)(1).

Proposed ballot designations submitted pursuant to Elections Code § 13107, subdivision (a)(1), shall be subject to the following provisions:

- (a) In the case of candidates holding elective city, county, district, state, or federal office, the candidate's ballot designation shall be the elective office which the candidate holds at the time of filing the nomination documents.

(b) In the case of judicial officers, the candidate's ballot designation shall be the elective office which the candidate holds at the time of filing the nomination documents.

(c) There shall be no word count limitation applicable to ballot designations submitted pursuant to Elections Code § 13107, subdivision (a)(1).

(d) Proposed ballot designations indicating a position of legislative leadership or leadership in another elected body, such as "Majority Leader of the California Senate," "Minority Leader of the California State Assembly," "Speaker of the California State Assembly," "President Pro Tempore of the California State Senate," "City of Orange Mayor Pro Tem," and the like, are not elective offices described in Elections Code § 13107, subdivision (a)(1). Such ballot designations are improper, pursuant to Elections Code § 13107, subdivision (a)(1). They may, however, subject to the three-word limit, be considered under the provisions of § 13107(a)(3). Examples of acceptable ballot designations under this section include, but are not limited to, "Assembly Minority Leader," "California Assembly Speaker," and "Mayor Pro Tem."

(e) Proposed ballot designations indicating that the candidate is a member of the state or county central committee of a political party, or an officer of a state or county central committee of a political party, are improper, as such positions do not constitute elective county or state offices as specified in Elections Code § 13107, subdivision (a)(1).

Note: Authority cited: Section 12172.5, Government Code. Reference: Section 13107, Elections Code.

HISTORY

1. New section filed 1-14-98; operative 1-14-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 3).

2. Amendment of subsection (d) filed 12-21-2009; operative 12-21-2009 pursuant to Government Code section 11343.4 (Register 2009, No. 52).

§ 20713. Proposed Ballot Designations Submitted Pursuant to Elections Code s 13107, Subdivision (a)(2).

Proposed ballot designations submitted pursuant to Elections Code s 13107, subdivision (a)(2), shall be subject to the following provisions:

(a) A proposed ballot designation submitted pursuant to Elections Code s 13107, subdivision (a)(2), is limited "incumbent," as that term is defined in Elections Code s 13107, subdivision (a)(2).

(b) The term "incumbent" must be used as a noun. It shall not be used in conjunction with any other words, including any accompanying adjectives or modifiers, and must stand alone. A candidate qualified to use this designation pursuant to Elections Code s 13107, subdivision (a)(2), shall be entitled to use the ballot designation "Incumbent."

(c) The word "incumbent" is strictly limited for use in ballot designations submitted pursuant to Elections Code s 13107, subdivision (a)(2), and may not be used as an adjective in any other ballot designation.

Note: Authority cited: Section 12172.5, Government Code. Reference: Section 13107, Elections Code.

HISTORY

1. New section filed 1-14-98; operative 1-14-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 3).

§ 20714. Proposed Ballot Designations Submitted Pursuant to Elections Code § 13107, Subdivision (a)(3).

Proposed ballot designations submitted pursuant to Elections Code § 13107, subdivision (a)(3), shall be subject to the following provisions:

(a) The terms "profession," "vocation," or "occupation," as those terms are used in Elections Code § 13107, subdivision (a)(3), are defined as follows:

(1) "Profession" means a field of employment requiring special education or skill and requiring knowledge of a particular discipline. The labor and skill involved in a profession is predominantly mental or intellectual, rather than physical or manual. Recognized professions generally include, but are not limited to, law, medicine, education, engineering, accountancy, and journalism. Examples of an acceptable designation of a "profession," as defined in Elections Code § 13107, subdivision (a)(3), include, but are not limited to, "attorney," "physician," "accountant," "architect," and "teacher."

(2) "Vocation" means a trade, a religious calling, or the work upon which a person, in most but not all cases, relies for his or her livelihood and spends a major portion of his or her time. As defined, vocations may include, but are not limited to, religious ministry, child rearing, homemaking, elderly and dependent care, and engaging in trades such as carpentry, cabinetmaking, plumbing, and the like. Examples of an acceptable designation of a "vocation," as defined in Elections Code § 13107, subdivision (a)(3), include, but are not limited to, "minister," "priest," "mother," "father," "homemaker," "dependent care provider," "carpenter," "plumber," "electrician," and "cabinetmaker."

(3) "Occupation" means the employment in which one regularly engages or follows as the means of making a livelihood. Examples of an acceptable designation of an "occupation," as defined in Elections Code § 13107, subdivision (a)(3), include, but are not limited to, "rancher," "restaurateur," "retail salesperson," "manual laborer," "construction worker," "computer manufacturing executive," "military pilot," "secretary," and "police officer."

(b) "Principal," as that term is used in Elections Code § 13107, subdivision (a)(3), means a substantial involvement of time and effort such that the activity is one of the primary, main or leading professional, vocational or occupational endeavors of the candidate. The term "principal" precludes any activity which does not entail a significant involvement on the part of the candidate. Involvement which is only nominal, pro forma, or titular in character does not meet the requirements of the statute.

(1) If a candidate is licensed by the State of California to engage in a profession, vocation or occupation, the candidate is entitled to consider it one of his or her "principal" professions, vocations or occupations if (i) the candidate has maintained his or her license current as of the date he or she filed his or nomination documents by complying with all applicable requirements of the respective licensure, including the payment of all applicable license fees and (ii) the status of the candidate's license is active at the time he or she filed his or her nomination documents.

(2) A candidate who holds a professional, vocational or occupational license issued by the State of California may not claim such profession, vocation or occupation as one of his or her "principal" professions, vocations or occupations if (i) the candidate's licensure status is "inactive" at the time the candidate files his or her nomination document, or (ii) the candidate's license has been suspended or revoked by the agency issuing the license at the time the candidate files his or her nomination documents.

(c) In order for a ballot designation submitted pursuant to Elections Code § 13107, subdivision (a)(3), to be deemed acceptable by the Secretary of State, it must accurately state the candidate's principal professions, vocations or occupations, as those terms are defined in subdivisions (a) and (b) herein. Each proposed principal profession, vocation or occupation submitted by the candidate must be factually accurate, descriptive of the candidate's principal profession, vocation or occupation, must be neither confusing nor misleading, and must be in full and complete compliance with Elections Code § 13107 and the regulations in this Chapter.

(d) If the candidate is engaged in a profession, vocation or occupation at the time he or she files his or her nomination documents, the candidate's proposed ballot designation is entitled to consist of the candidate's current principal professions, vocations and occupations. In the event the candidate does not have a current principal profession, vocation or occupation at the time he or she files his or her nomination documents, the candidate may use a ballot designation consisting of his or her principal professions, vocations or occupations, which the candidate was principally engaged in during the calendar year immediately preceding the filing of the candidate's nomination papers.

(e) A candidate may engage in multiple principal professions, vocations or occupations. Accordingly, the candidate may designate multiple principal professions, vocations or occupations. If a candidate proposes a ballot designation including multiple principal professions, vocations or occupations, the proposed ballot designation must comply with the following provisions:

(1) The proposed ballot designation must comply with the three-word limitation specified in Elections Code § 13107, subdivision (a)(3), and as implemented pursuant to subdivision (f) herein.

(2) Each such proposed profession, vocation or occupation shall be separately considered by the Secretary of State and must independently qualify as a "principal" profession, vocation or occupation, as that term is defined pursuant to subdivision (b) herein.

(3) When multiple professions, vocations or occupations are proposed as a ballot designation, they shall be separated by a slash ("/"). An example of an acceptable designation would be "Legislator/Rancher/Physician."

(f) Pursuant to Elections Code § 13107, subdivision (a)(3), the candidate's ballot designation shall be limited to not more than three (3) words. The following rules shall govern the application of the three-word limitation:

(1) The proposed ballot designation shall be grammatically correct, generic, and all words must be spelled correctly.

(2) Punctuation shall be limited to the use of a comma (e.g., District Attorney, Los Angeles County) and a slash (e.g., Legislator/Rancher/Physician), pursuant to subdivision (e) of this section. A hyphen may be used if, and only if, the use of a hyphen is called for in the spelling of a word as it appears in a standard reference dictionary of the English language, which was published in the United States at any time within the 10 calendar years immediately preceding the election for which the words are counted.

(3) All California geographical names shall be considered to be one word and shall be limited to the names of cities, counties and states. The names of special districts and political subdivisions are not "geographical names," as that term is used in Elections Code § 13107, subdivision (a)(3). If the candidate desires, the geographical name may be used in the form of

"City of . . .," "County of . . .," or "City and County of . . ." Examples of geographical names considered to be one word include Tehama County, Los Angeles County and County of Sacramento. Examples of designations containing a special district or political subdivision that are not geographical names include "Butte County Rural Fire District Captain," "Huntington Beach Unified School District President," and "South Bay Irrigation District Director."

(4) An acronym shall be counted as one word.

(g) A candidate who chooses to include the name of his or her elective office with another profession, vocation, or occupation may do so pursuant to Elections Code § 13107(a)(3), but that ballot designation shall be limited to no more than three words. Examples of acceptable designations under this section include "State Senator/Rancher," "California Assemblywoman/Attorney," "County Supervisor/Teacher," and "State Controller/Businessman." Examples of unacceptable designations under this section include "Assemblyman, 57th District/Educator," "California State Senator/Architect," "Placer County Supervisor/Business Owner," and "Member, Board of Equalization/Banker."

Note: Authority cited: § 12172.5, Government Code. Reference: § 9 and 13107, Elections Code.

HISTORY

1. New section filed 1-14-98; operative 1-14-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 3).
2. Amendment of subsections (a)(1), (c) and (f)(2)-(3), new subsection (g) and amendment of Note filed 12-21-2009; operative 12-21-2009 pursuant to Government Code § 11343.4 (Register 2009, No. 52).

§ 20714.5. "Community Volunteer."

(a) "Community Volunteer" means a person who engages in an activity or performs a service for or on behalf of, without profiting monetarily, one or more of the following:

- (1) A charitable, educational, or religious organization as defined by the United States Internal Revenue Code section 501(c)(3);
- (2) A governmental agency; or
- (3) An educational institution.

(b) The activity or service must constitute substantial involvement of the candidate's time and effort such that the activity or service is the sole, primary, main or leading professional, vocational or occupational endeavor of the candidate within the meaning of subdivisions (a) and (b) of § 20714 of this Chapter.

Note: Authority cited: § 12172.5, Government Code; and § 13107.5(b), Elections Code. Reference: § 13107 and 13107.5, Elections Code; and § 501(c)(3), United State Internal Revenue Code.

HISTORY

1. New section filed 12-21-2009; operative 12-21-2009 pursuant to Government Code section 11343.4 (Register 2009, No. 52).

§ 20715. Proposed Ballot Designations Submitted Pursuant to Elections Code § 13107(a)(4).

(a) Pursuant to Elections Code s 13107, subdivision (a)(4), a candidate may propose a ballot designation consisting of the phrase "appointed incumbent" if the candidate holds an office, other than a judicial office, by virtue of appointment, and the candidate is a candidate for election to the same office. The candidate may not use the unmodified word "incumbent" or any words designating the office unmodified by the word "appointed."

(b) Pursuant to Elections Code s 13107, subdivision (a)(4), a candidate may propose a ballot designation consisting of the word "appointed" in conjunction with the elective office, if the candidate is a candidate for election to the same office or to some other office. The candidate may not use any words designating the office unmodified by the word "appointed."

(c) There shall be no word count limitation applicable to ballot designations submitted pursuant to Elections Code § 13107(a)(4).

Note: Authority cited: § 12172.5, Government Code. Reference: § 13107, Elections Code.

HISTORY

1. New section filed 1-14-98; operative 1-14-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 3).

§ 20716. Unacceptable Ballot Designations.

(a) The Secretary of State shall reject as unacceptable any proposed ballot designation which fails to comply with Elections Code § 13107, subdivision (a); is prohibited pursuant to Elections Code § 13107, subdivision (b); is misleading; or is otherwise improper pursuant to the regulations set forth in this Chapter.

(b) The following types of activities are distinguished from professions, vocations and occupations and are not acceptable as ballot designations pursuant to Elections Code § 13107, subdivision (a)(3):

(1) *Avocations*: An avocation is a casual or occasional activity, diversion or hobby pursued principally for enjoyment and in addition to the candidate's principal profession, vocation or occupation. Avocations may include, but are not limited to, hobbies, social activities, volunteer work (except as set forth in Section 20714.5 of this Chapter), and matters pursued as an amateur.

(2) *Pro Forma Professions, Vocations and Occupations*: Pro forma professions, vocations or occupations are positions held by the candidate which consume little or none of the candidate's time and which, by their nature, are voluntary or for which the candidate is not compensated, except as set forth in Section 20714.5 of this Chapter. Pro forma professions, vocations and occupations may include, but are not limited to, such pursuits as honorary peace officer, honorary chairperson, honorary professor, goodwill ambassador, official host or hostess and the like.

(3) *Statuses*: A status is a state, condition, social position or legal relation of the candidate to another person, persons or the community as a whole. A status is generic in nature and generally fails to identify with any particular specificity the manner by which the candidate earns his or her livelihood or spends the substantial majority of his or her time. Examples of a status include, but are not limited to, veteran, proponent, reformer, scholar, founder, philosopher, philanthropist, activist, patriot, taxpayer, concerned citizen, husband, wife, and the like.

(c) Pursuant to Elections Code § 13107, subdivision (b)(1), the Secretary of State shall reject as unacceptable any proposed ballot designation which would mislead voters. In making this determination, the Secretary of State shall determine whether there is a substantial likelihood that a reasonably prudent voter would be misled as to the candidate's principal profession, vocation or occupation by the candidate's proposed ballot designation. The determination shall take into account the plain meaning of the words constituting the proposed ballot designation and the factual accuracy of the proposed ballot designation based upon supporting documents or other evidence submitted by the candidate in support of the proposed ballot designation, pursuant to §§ 20711 and 20717 of this Chapter.

(d) A ballot designation may not comprise or include commercial identification information, such as a trademark, service mark, tradename, or the specific name of a business, partnership, corporation, company, foundation, or organization. Examples of an improper use of commercial identification information include, but are not limited to, "Acme Company President," "Universal Widget Inventor," "Director, Smith Foundation," "UCLA Professor," and the like.

(e) Pursuant to Elections Code § 13107, subdivision (b)(2), the Secretary of State shall reject as unacceptable any proposed ballot designation which would suggest an evaluation of the candidate's qualifications, honesty, integrity, leadership abilities or character. Any laudatory or derogatory adjectives which would suggest an evaluation of the candidate's qualifications shall not be permitted. Such impermissible adjectives include, but are not limited to, "senior," "emeritus," "specialist," "magnate," "outstanding," "leading," "expert," "virtuous," "eminent," "best," "exalted," "prominent," "famous," "respected," "honored," "honest," "dishonest," "corrupt," "lazy," and the like.

(f) Pursuant to Elections Code § 13107, subdivision (b)(3), the Secretary of State shall reject as unacceptable any proposed ballot designation which abbreviates the word "retired" or places it following any word or words which it modifies. Examples of impermissible designations include "Ret. Army General," "Major USAF, Retired" and "City Attorney, Retired."

(g) Pursuant to Elections Code § 13107, subdivision (b)(4), the Secretary of State shall reject as unacceptable any proposed ballot designation which uses a word or prefix to indicate a prior profession, vocation, occupation or elected, appointed or judicial office previously held by the candidate. Such impermissible words or prefixes include, but are not limited to, "Ex-," "former," "past," and "erstwhile." Examples of impermissible designations include "Former Congressman," "Ex-Senator," and "Former Educator."

(h)(1) Subject to the provisions of Elections Code § 13107, subdivision (b)(4), use of the word "retired" in a ballot designation is generally limited for use by individuals who have permanently given up their chosen principal profession, vocation or occupation.

(2) In evaluating a proposed ballot designation including the word "retired," the Secretary of State will consider the following factors in making a determination as to the propriety of the use of the term "retired":

(A) Prior to retiring from his or her principal profession, vocation or occupation, the candidate worked in such profession, vocation or occupation for more than 5 years;

(B) The candidate is collecting, or eligible to collect, retirement benefits or other type of vested pension;

(C) The candidate has reached at least the age of 55 years;

(D) The candidate voluntarily left his or her last professional, vocational or occupational position; and,

(E) The candidate's retirement benefits are providing him or her with a principal source of income.

(3) If a candidate is requesting a ballot designation that he or she is a retired public official, the candidate must have previously voluntarily retired from public office, not have been involuntarily removed from office, not have been recalled by voters, and not have surrendered the office to seek another office or failed to win reelection to the office. If such a candidate did not voluntarily retire from public office, he or she may not use the word "retired" in his or her ballot designation.

(4) A candidate may not use the word "retired" in his or her ballot designation if that candidate possesses another more recent, intervening principal profession, vocation, or occupation.

(i) Pursuant to Elections Code § 13107, subdivision (b)(5), the Secretary of State shall reject as unacceptable any proposed ballot designation which uses the name of any political party, whether or not it has qualified for recognized ballot status.

(j) Pursuant to Elections Code § 13107, subdivision (b)(6), the Secretary of State shall reject as unacceptable any proposed ballot designation which uses a word or words referring to a racial, religious, or ethnic group.

(1) The Secretary of State shall reject as unacceptable any ballot designation which expressly contains or implies any ethnic or racial slurs or ethnically or racially derogatory language.

(2) If the candidate is a member of the clergy, the candidate may not make reference to his or her specific denomination. However, the candidate may use his or her clerical title as a ballot designation (e.g., "Rabbi," "Pastor," "Minister," "Priest," "Bishop," "Deacon," "Monk," "Nun," "Imam," etc.)

(k) Pursuant to Elections Code § 13107, subdivision (b)(7), the Secretary of State shall reject as unacceptable any proposed ballot designation which refers to any activity prohibited by law. Unlawful activity includes any activities, conduct, professions, vocations, or occupations prohibited by state or federal law.

Note: Authority cited: Section 12172.5, Government Code. Reference: Section 13107, Elections Code.

HISTORY

1. New section filed 1-14-98; operative 1-14-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 3).
2. Amendment filed 12-21-2009; operative 12-21-2009 pursuant to Government Code section 11343.4 (Register 2009, No. 52).

§ 20717. Requests for Supporting Documentation.

In addition to the Ballot Designation Worksheet required to be filed with the Secretary of State pursuant to Elections Code § 13107.3 and § 20711 of this Chapter, the Secretary of State may request that a candidate submit additional supporting documentation or other evidence to support the proposed ballot designation.

(a) Time is of the essence regarding all matters pertaining to the review of proposed ballot designations submitted by candidates for public office. Failure to promptly submit requested supporting materials will preclude consideration of such materials in and the rendering of a final decision on the candidate's proposed ballot designation.

(b) The Secretary of State will communicate, whenever possible, with the candidate in the most expeditious manner, including, but not limited to, telephone, facsimile transmission and electronic mail at the number or address provided by the candidate. When the candidate does not have reasonable access to a facsimile machine or electronic mail, the Secretary of State will transmit written communication to the candidate by means of overnight express delivery to the address provided by the candidate.

(c) The candidate shall have the burden of establishing that the proposed ballot designation that he or she has submitted is accurate and complies with all provisions of Elections Code § 13107 and this Chapter.

Note: Authority cited: Section 12172.5, Government Code. Reference: Sections 13107 and 13107.3, Elections Code.

HISTORY

1. New section filed 1-14-98; operative 1-14-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 3).
2. Amendment of section and Note filed 12-21-2009; operative 12-21-2009 pursuant to Government Code section 11343.4 (Register 2009, No. 52).

§ 20718. Communication of Decisions Regarding Ballot Designations.

(a) If a candidate's proposed ballot designation has been rejected, an official copy of the decision of the Secretary of State will be made in writing and transmitted directly to the candidate by registered or certified mail, return receipt requested, to the address provided by the candidate. The Secretary of State shall also provide a copy to the elections official in the candidate's county of residence and to the elections official of each county within the political subdivision. Copies may also be made available to all other candidates in the race.

(b) At the request of the candidate, the Secretary of State will transmit a copy of the decision of the Secretary of State regarding the candidate's proposed ballot designation by facsimile transmission or e-mail to the facsimile number or e-mail address listed on the candidate's Ballot Designation Worksheet.

(c) All written decision of the Secretary of State regarding ballot designations are public records and are available for inspection and copying at the public counter of the Elections Division of the Office of the Secretary of State, 1500 11th Street, Fifth Floor, Sacramento, California 95814.

Note: Authority cited: Section 12172.5, Government Code. Reference: Section 13107, Elections Code.

HISTORY

1. New section filed 1-14-98; operative 1-14-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 3).
2. Amendment filed 12-21-2009; operative 12-21-2009 pursuant to Government Code section 11343.4 (Register 2009, No. 52).

§ 20719. Service of Legal Process Regarding Ballot Designations.

(a) In the event a candidate or other interested party files a petition for the issuance of an extraordinary writ with the court or other legal action pertaining to a candidate's ballot designation, the summons and any other legal process should be served upon the Chief Counsel to the Secretary of State, 1500 11th Street, Sixth Floor, Sacramento, California 95814. The Chief Counsel may designate a Deputy Secretary of State to accept service of process on behalf of the Secretary of State.

(b) Telephone notice pertaining to any ex parte applications filed with the court by any candidate or other interested party should be directed to the attention of the Chief Counsel to the Secretary of State at (916) 653-7244. Counsel for all parties to such ex parte matters are admonished that waivers of the Secretary of State's right to timely notice and the right to personally appear at the ex parte hearing will be granted in writing and only in limited instances.

(c) The Secretary of State shall provide a copy of any legal actions in subdivision (a) or (b) above to the elections official in the county of the candidate's residence and any other county in the district.

(d) The Secretary of State shall be named as a respondent in any legal action pertaining to a ballot designation for a candidate described in Elections Code § 15375, except for a candidate for judge of the superior court.

Note: Authority cited: Section 12172.5, Government Code. Reference: Sections 13107 and 13314, Elections Code.

HISTORY

1. New section filed 1-14-98; operative 1-14-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 3).
2. Amendment of subsection (a), new subsection (d), and amendment of Note filed 12-21-2009; operative 12-21-2009 pursuant to Government Code section 11343.4 (Register 2009, No. 52).

SOURCE:

[HTTP://CCR.OAL.CA.GOV](http://CCR.OAL.CA.GOV)

This database is current through 6/26/20 Register 2020, No. 26

Ballot Designation Worksheet Guide

November 3, 2020



Elections Office of the Registrar of Voters

Revised 6/22/2020

1.	Has the candidate filed a <i>Declaration of Candidacy</i> ?	YES <input type="checkbox"/> Continue to #2	NO <input type="checkbox"/> Candidate must complete a <i>Declaration of Candidacy</i> . Continue to #2
2.	Has the candidate indicated on the <i>Declaration of Candidacy</i> that they want a ballot designation to appear on the ballot?	YES <input type="checkbox"/> Continue to #3	NO <input type="checkbox"/> <i>A Ballot Designation Worksheet</i> is optional and the candidate is not required to complete.
3.	Has the <u>candidate, or a person authorized to act on the candidate's behalf</u> , provided their name, office, residence address, and telephone numbers on the <i>Ballot Designation Worksheet</i> ? (E-mail, business address, and mailing address are to be provided only if applicable)	YES <input type="checkbox"/> Continue to #4	NO <input type="checkbox"/> The candidate, or person authorized to act on candidates' behalf, <u>must</u> provide the listed information on the <i>Ballot Designation Worksheet</i> . When completed continue to #4
4.	Has the candidate proposed a ballot designation and alternate ballot designations?	YES <input type="checkbox"/> Continue to #5	NO <input type="checkbox"/> Alternate ballot designations are optional, but highly advised. Continue to #5
ELECTIVE OFFICE TITLE			
5.	Does the candidate's proposed ballot designation refer to a currently held elective office?	YES <input type="checkbox"/> Continue to #6	NO <input type="checkbox"/> Continue to #13
6.	Has the candidate presented a Certificate of Election or a Certificate In-Lieu of Election?	YES <input type="checkbox"/> Continue to #9	NO <input type="checkbox"/> Election Official must verify status as officeholder, then continue to #7
7.	Was the candidate appointed to their current term?	YES <input type="checkbox"/> Continue to #8	NO <input type="checkbox"/> Candidate must provide Certificate of Election, then continue to #9
8.	Does the proposed ballot designation contain the word "appointed?"	YES <input type="checkbox"/> Continue to #9	NO <input type="checkbox"/> Candidate must use the word "appointed" in their proposed Ballot Designation, then continue to #9
9.	Does the proposed ballot designation contain the candidate's full elective office title?	YES <input type="checkbox"/> Continue to #12	NO <input type="checkbox"/> Continue to #10
10.	Does the proposed ballot designation contain the word "incumbent?"	YES <input type="checkbox"/> Continue to #11	NO <input type="checkbox"/> Candidate's ballot designation must be full elective office title, "incumbent" or "appointed incumbent." Select a different ballot designation, then return to #5.

11.	In addition to “incumbent” or “appointed incumbent,” has the candidate designated any other professions, vocations or occupations?	YES <input type="checkbox"/> Candidate may not designate any other professions, vocations or occupations with “incumbent” or “appointed incumbent.”	NO <input type="checkbox"/> Continue to #36
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REFERENCE - 2 CA ADC § 20713(b) reads as follows:
The term “incumbent” must be used as a noun. It shall not be used in conjunction with any other words, including any accompanying adjectives or modifiers, and must stand alone.

REFERENCE – 2 CA ADC § 20715(a)(b) reads as follows:
(a) Pursuant to Elections Code § 13107, subdivision (a)(4), a candidate may propose a ballot designation consisting of the phrase “appointed incumbent” if the candidate holds an office, other than a judicial office, by virtue of appointment, and the candidate is a candidate for election to the same office. The candidate may not use the unmodified word “incumbent” or any words designating the office unmodified by the word “appointed.”
(b) Pursuant to Elections Code § 13107, subdivision (a)(4), a candidate may propose a ballot designation consisting of the word “appointed” in conjunction with the elective office, if the candidate is a candidate for election to the same office or to some other office. The candidate may not use any words designating the office unmodified by the word “appointed.”

12.	In addition to their elective office title, has the candidate designated any other professions, vocations or occupations?	YES <input type="checkbox"/> Continue to #13	NO <input type="checkbox"/> Continue to #36
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REFERENCE – 2 CA ADC § 20714(g) reads as follows:
A candidate who chooses to include the name of his or her elective office with another profession, vocation, or occupation may do so.

Examples of acceptable designations under this section include:
“State Senator/Rancher,” “California Assemblywoman/Attorney,” “County Supervisor/Teacher,” and “State Controller/Businessman.”
Examples of unacceptable designations under this section include “Assemblyman, 57th District/Educator,” “California State Senator/Architect,” “Placer County Supervisor/Business Owner,” and “Member, Board of Equalization/Banker.”

PRINCIPAL PROFESSION, VOCATION, OR OCCUPATION

13.	Has the candidate designated multiple principal professions, vocations or occupations?	YES <input type="checkbox"/> Continue to #14	NO <input type="checkbox"/> Continue to #15
14.	Has the candidate separated the multiple principal professions, vocations or occupations with a “/”?	YES <input type="checkbox"/> Continue to #15	NO <input type="checkbox"/> Candidate must separate principal professions, vocations or occupations with a “/”, then Continue to #15

REFERENCE – 2 CA ADC § 20714(e) reads as follows:
A candidate may engage in multiple principal professions, vocations or occupations. Accordingly, the candidate may designate multiple principal professions, vocations or occupations. If a candidate proposes a ballot designation including multiple principal professions, vocations or occupations, the proposed ballot designation must comply with the following provisions:

...(3) When multiple professions, vocations or occupations are proposed as a ballot designation, they shall be separated by a slash (“/”). An example of an acceptable designation would be “Legislator/Rancher/Physician.”

15.	Is the proposed ballot designation grammatically correct, generic, and are all words spelled correctly?	YES <input type="checkbox"/> Continue to #16	NO <input type="checkbox"/> Candidate must re-write ballot designation then Continue to #16
16.	Does the proposed ballot designation use any punctuation other than a comma (e.g., District Attorney, Los Angeles County), a slash (e.g., Legislator/Rancher/Physician), or a hyphen as called for in the spelling of a word?	YES <input type="checkbox"/> Candidate must re-write ballot designation. Continue to #17	NO <input type="checkbox"/> Continue to #17

REFERENCE – 2 CA ADC § 20714(f)(2) reads as follows:
Punctuation shall be limited to the use of a comma (e.g., District Attorney, Los Angeles County) and a slash (e.g., legislator/Rancher/Physician)... A hyphen may be used if, and only if, the use of a hyphen is called for in the spelling of a word as it appears in a standard reference dictionary of the English language which was published in the United States at any time within the 10 calendar years immediately preceding the election...

17.	Does the proposed ballot designation contain more than three words designating the current principal profession, vocation, or occupation of the candidate?	YES <input type="checkbox"/> Continue to #18	NO <input type="checkbox"/> Continue to #20
18.	Based on the three word count rule, does the proposed ballot designation include words that are considered one word, such as California geographical names or acronyms? (e.g. Tehama County, Los Angeles County and County of Sacramento)	YES <input type="checkbox"/> Continue to #19	NO <input type="checkbox"/> Candidate must re-write ballot designation. Return to #5

REFERENCE - 2 CA ADC § 20714(f)(3)(4) reads as follows:
(f)...The following rules shall govern the application of the three word limitation:
(3) All California geographical names shall be considered to be one word and shall be limited to the names of cities, counties and states. The names of special districts and political subdivisions are not "geographical names"... If the candidate desires, the geographical name may be used in the form of "City of . . .," "County of . . .," or "City and County of . . ." Examples of geographical names considered to be one word include Tehama County, Los Angeles County and County of Sacramento...
(4)An acronym shall be counted as one word.

19.	Does the proposed ballot designation contain more than three words that is not the elected title after applying the three word count rule?	YES <input type="checkbox"/> Candidate must re-write ballot designation. Return to #5	NO <input type="checkbox"/> Continue to #20
20.	Is the candidate currently engaged in the principal professions, vocations, or occupations selected as the ballot designation?	YES <input type="checkbox"/> Continue to #22	NO <input type="checkbox"/> Candidate must use current principal professions, vocations or occupations. If none, continue to #21
21.	Was the candidate engaged in the principal professions, vocations, or occupations selected as the ballot designation during the calendar year immediately preceding this filing?	YES <input type="checkbox"/> Continue to #22	NO <input type="checkbox"/> Candidate must re-write ballot designation. Return to #5

REFERENCE - 2 CA ADC § 20714(d) reads as follows:
If the candidate is engaged in a profession, vocation or occupation at the time he or she files his or her nomination documents, the candidate's proposed ballot designation is entitled to consist of the candidate's current principal professions, vocations and occupations. In the event the candidate does not have a current principal profession, vocation or occupation at the time he or she files his or her nomination documents, the candidate may use a ballot designation consisting of his or her principal professions, vocations or occupations, which the candidate was principally engaged in during the calendar year immediately preceding the filing of the candidate's nomination papers.

22.	Is the proposed ballot designation factually accurate, descriptive of the candidate's principal profession, vocation or occupation?	YES <input type="checkbox"/> Continue to #23	NO <input type="checkbox"/> Candidate must re-write ballot designation. Return #5
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REFERENCE – 2 CA ADC § 20714(a)(b) reads as follows:
(a)The terms "profession," "vocation," or "occupation," as those terms are used in Elections Code § 13107, subdivision (a)(3), are defined as follows:
(1) "Profession" means a field of employment requiring special education or skill and requiring knowledge of a particular discipline. The labor and skill involved in a profession is predominantly mental or intellectual, rather than physical or manual. Recognized professions generally include, but are not limited to, law, medicine, education, engineering, accountancy, and journalism. Examples of an acceptable designation of a "profession," as defined in Elections Code § 13107, subdivision (a)(3), include, but are not limited to, "attorney," "physician," "accountant," "architect," and "teacher."
(2) "Vocation" means a trade, a religious calling, or the work upon which a person, in most but not all cases, relies for his or her livelihood and spends a major portion of his or her time. As defined, vocations may include, but are not limited to, religious ministry, child rearing, homemaking, elderly and dependent care, and engaging in trades such as carpentry, cabinetmaking, plumbing, and the like. Examples of an acceptable designation of a "vocation," as defined in Elections Code § 13107, subdivision (a)(3), include, but are not limited to, "minister," "priest," "mother," "father," "homemaker," "dependent care provider," "carpenter," "plumber," "electrician," and "cabinetmaker."
(3) "Occupation" means the employment in which one regularly engages or follows as the means of making a livelihood. Examples of an acceptable designation of an "occupation," as defined in Elections Code § 13107, subdivision (a)(3), include, but are not limited to, "rancher," "restaurateur," "retail salesperson," "manual laborer," "construction worker," "computer manufacturing executive," "military pilot," "secretary," and "police officer."

(b) "Principal," as that term is used in Elections Code § 13107, subdivision (a)(3), means a substantial involvement of time and effort such that the activity is one of the primary, main or leading professional, vocational or occupational endeavors of the candidate. The term "principal" precludes any activity which does not entail a significant involvement on the part of the candidate. Involvement which is only nominal, pro forma, or titular in character does not meet the requirements of the statute.

(1) If a candidate is licensed by the State of California to engage in a profession, vocation or occupation, the candidate is entitled to consider it one of his or her "principal" professions, vocations or occupations if (i) the candidate has maintained his or her license current as of the date he or she filed his or nomination documents by complying with all applicable requirements of the respective licensure, including the payment of all applicable license fees and (ii) the status of the candidate's license is active at the time he or she filed his or her nomination documents. (2) A candidate who holds a professional, vocational or occupational license issued by the State of California may not claim such profession, vocation or occupation as one of his or her "principal" professions, vocations or occupations if (i) the candidate's licensure status is "inactive" at the time the candidate files his or her nomination document, or (ii) the candidate's license has been suspended or revoked by the agency issuing the license at the time the candidate files his or her nomination documents.

23.	Is the proposed ballot designation confusing or misleading?	YES <input type="checkbox"/> Candidate must re-write ballot designation. Return to #5	NO <input type="checkbox"/> Continue to #24
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REFERENCE - 2 CA ADC§ 20716(c) reads as follows:
 In making this determination, the Secretary of State shall determine whether there is a substantial likelihood that a reasonably prudent voter would be misled as to the candidate's principal profession, vocation or occupation by the candidate's proposed ballot designation. The determination shall take into account the plain meaning of the words constituting the proposed ballot designation and the factual accuracy of the proposed ballot designation based upon supporting documents or other evidence submitted by the candidate in support of the proposed ballot designation....

24.	Does the proposed ballot designation contain the words "Community Volunteer"?	YES <input type="checkbox"/> Continue to #25	NO <input type="checkbox"/> Continue to #27
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25.	Is the candidate a person who engages in an activity or performs a service for or on behalf of, without profiting monetarily, one or more of the following? <ul style="list-style-type: none"> • A charitable, educational, or religious organization as defined by the United States Internal Revenue Code section 501(c)(3); • A governmental agency; or • An educational institution. 	YES <input type="checkbox"/> Continue to #26	NO <input type="checkbox"/> Candidate may not use the words "Community Volunteer" as the proposed ballot designation. Return to #5
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26.	Does the candidate's activity or service constitute substantial involvement of the candidate's time and effort such that the activity or service is the sole, primary, main or leading professional, vocational, or occupational endeavor of the candidate?	YES <input type="checkbox"/> Continue to #27	NO <input type="checkbox"/> Candidate may not use the words "Community Volunteer" as the proposed ballot designation. Return to #5
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REFERENCE - 2 CA ADC § 20714.5(b) reads as follows:
 The activity or service must constitute substantial involvement of the candidate's time and effort such that the activity or service is the sole, primary, main or leading professional, vocational, or occupational endeavor of the candidate.

RETIRED

27.	Does the proposed ballot designation contain the word "Retired"?	YES <input type="checkbox"/> Continue to #28	NO <input type="checkbox"/> Continue to #31
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28.	Does the candidate possess another more recent, intervening principal profession, vocation, or occupation?	YES <input type="checkbox"/> Candidate may not use the word "Retired" as the proposed ballot designation. Return to #5	NO <input type="checkbox"/> Continue to #29
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29.	Does the proposed ballot designation abbreviate the word "Retired"?	YES <input type="checkbox"/> Candidate must correct abbreviation, then Continue to #30	NO <input type="checkbox"/> Continue to #30
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30.	Does the proposed ballot designation place “retired” following any word or words which it modifies?	YES <input type="checkbox"/> “Retired” must be placed before any word or words which it modifies, then Continue to #31	NO <input type="checkbox"/> Continue to #31
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REFERENCE – 2 CA ADC § 20716(h)(1) reads as follows:
 Subject to the provisions of Elections Code § 13107, subdivision (b)(4), use of the word “retired” in a ballot designation is generally limited for use by individuals who have permanently given up their chosen principal profession, vocation or occupation.
 (2) In evaluating a proposed ballot designation including the word “retired,” the Secretary of State will consider the following factors in making a determination as to the propriety of the use of the term “retired”:
 (A) Prior to retiring from his or her principal profession, vocation or occupation, the candidate worked in such profession, vocation or occupation for more than 5 years;
 (B) The candidate is collecting, or eligible to collect, retirement benefits or other type of vested pension;
 (C) The candidate has reached at least the age of 55 years;
 (D) The candidate voluntarily left his or her last professional, vocational or occupational position; and
 (E) The candidate’s retirement benefits are providing him or her with a principal source of income.
 (3) If the candidate is requesting a ballot designation that he or she is a retired public official, the candidate must have previously voluntarily retired from public office, not have been involuntarily removed from office, not have been recalled by voters, and not have surrendered the office to seek another office or failed to win reelection to the office. If such a candidate did not voluntarily retire from public office, he or she may not use the word “retired” in this or her ballot designation.
 (4) A candidate may not use the word “retired” in his or her ballot designation if that candidate possesses another more recent, intervening principal profession, vocation, or occupation.

REFERENCE - CA EC § 13107 (e) 3 reads as follows:
 (e) Neither the Secretary of State nor any other elections official shall accept a designation of which any of the following would be true:
 (3) It abbreviates the word “retired” or places it following any word or words which it modifies.

UNACCEPTABLE BALLOT DESIGNATIONS

31.	Is the proposed ballot designation an <i>avocation, pro forma profession, vocation or occupation, or a status</i> ?	YES <input type="checkbox"/> Candidate must re-write ballot designation. Return to #5	NO <input type="checkbox"/> Continue to #32
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REFERENCE – 2 CA ADC § 20716(b) reads as follows:
 The following types of activities are distinguished from professions, vocations and occupations and are not acceptable as ballot designations...

(1)*Avocations*: An avocation is a casual or occasional activity, diversion or hobby pursued principally for enjoyment and in addition to the candidate’s principal profession, vocation or occupation. Avocations may include, but are not limited to, hobbies, social activities, volunteer work (except as set forth in Section 20714.5 of this Chapter), and matters pursued as an amateur.

(2) *Pro Forma Professions, Vocations and Occupations*: Pro forma professions, vocations or occupations are positions held by the candidate which consume little or none of the candidate’s time and which, by their nature, are voluntary or for which the candidate is not compensated, except as set forth in Section 20714.5 of this Chapter. Pro forma professions, vocations and occupations may include, but are not limited to, such pursuits as honorary peace officer, honorary chairperson, honorary professor, goodwill ambassador, official host or hostess and the like.

(3)*Statuses*: A status is a state, condition, social position or legal relation of the candidate to another person, persons or the community as a whole. A status is generic in nature and generally fails to identify with any particular specificity the manner by which the candidate earns his or her livelihood or spends the substantial majority of his or her time. Examples of a status include, but are not limited to, veteran, proponent, reformer, scholar, founder, philosopher, philanthropist, activist, patriot, taxpayer, concerned citizen, husband, wife, and the like.

32.	Does the proposed ballot designation include commercial identification information, such as a trademark, service mark, trade name, or the specific name of a business, partnership, corporation, company, foundation, or organization?	YES <input type="checkbox"/> Candidate must re-write ballot designation. Return #5	NO <input type="checkbox"/> Continue #33
33.	Does the proposed ballot designation suggest an evaluation of the candidate’s qualifications, honesty, integrity, leadership abilities or character?	YES <input type="checkbox"/> Candidate must re-write ballot designation. Return to #5	NO <input type="checkbox"/> Continue to #34

REFERENCE – 2 CA ADC § 20716(e) reads as follows:
 ...Such impermissible adjectives include, but are not limited to, “senior,” “emeritus,” “specialist,” “magnate,” “outstanding,” “leading,” “expert,” “virtuous,” “eminent,” “best,” “exalted,” “prominent,” “famous,” “respected,” “honored,” “honest,” “dishonest,” “corrupt,” “lazy,” and the like.

34.	<p>Does the proposed ballot designation:</p> <ul style="list-style-type: none"> • Use a word or prefix such as “former”? • Use the name of any political party, qualified or unqualified? • Use a word or words referring to a racial, religious, or ethnic group? • Refer to any activity prohibited by law? 	<p>YES <input type="checkbox"/></p> <p>Candidate must re-write ballot designation. Return to #5</p>	<p>NO <input type="checkbox"/></p> <p>Continue to #35</p>
<p>REFERENCE - CA EC § 13107(e) 3-7 reads as follows:</p> <p>(e) Neither the Secretary of State nor any other elections official shall accept a designation of which any of the following would be true:</p> <p>(3) It abbreviates the word “retired” or places it following any word or words which it modifies.</p> <p>(4) It uses a word or prefix, such as “former” or “ex-,” which means a prior status. The only exception is the use of the word “retired.”</p> <p>(5) It uses the name of any political party, whether or not it has qualified for the ballot.</p> <p>(6) It uses a word or words referring to a racial, religious, or ethnic group.</p> <p>(7) It refers to any activity prohibited by law.</p> <p>2 CA ADC § 20716 reads as follows:</p> <p>Pursuant to Elections Code § 13107, subdivision (e)(5), the Secretary of State shall reject as unacceptable any proposed ballot designation which uses the name of any political party, whether or not it has qualified for recognized ballot status.</p> <p>Pursuant to Elections Code § 13107, subdivision (e)(6), the Secretary of State shall reject as unacceptable any proposed ballot designation which uses a word or words referring to a racial, religious, or ethnic group.</p> <p>The Secretary of State shall reject as unacceptable any ballot designation which expressly contains or implies any ethnic or racial slurs or ethnically or racially derogatory language.</p> <p>If the candidate is a member of the clergy, the candidate may not make reference to his or her specific denomination. However, the candidate may use his or her clerical title as a ballot designation (e.g., “Rabbi,” “Pastor,” “Minister,” “Priest,” “Bishop,” “Deacon,” “Monk,” “Nun,” “Imam,” etc.)</p>			
35.	<p>Does the proposed ballot designation use a word or prefix to indicate a prior profession, vocation, occupation or elected, appointed or judicial office previously held by the candidate?</p>	<p>YES <input type="checkbox"/></p> <p>Candidate must re-write ballot designation. Return to #5</p>	<p>NO <input type="checkbox"/></p> <p>Continue to #36</p>
<p>REFERENCE – 2 CA ADC § 20716(g) reads as follows:</p> <p>Such impermissible words or prefixes include, but are not limited to, “Ex-,” “former,” “past,” and “erstwhile.” Examples of impermissible designations include “Former Congressman,” “Ex-Senator,” and “Former Educator.”</p>			
<p>Supporting Documentation</p>			
36.	<p>Has the candidate supplied the following information?</p> <ul style="list-style-type: none"> • The title of the current occupation which he or she claims supports the proposed ballot designation • the name of the candidate’s business or employer • The dates during which the candidate held such position • The name and telephone numbers of persons who could verify such information 	<p>YES <input type="checkbox"/></p> <p>Continue to #37</p>	<p>NO <input type="checkbox"/></p> <p>Candidate should provide information to support the use of proposed ballot designation</p>
37.	<p>Has the candidate submitted a brief statement identifying the factual basis upon which the candidate claims the proposed ballot designation?</p>	<p>YES <input type="checkbox"/></p> <p>Continue to #38</p>	<p>NO <input type="checkbox"/></p> <p>Candidate should provide information to support the use of proposed ballot designation</p>
38.	<p>Has the candidate submitted proof of chosen ballot designation status information such as a business card or a notice from the organization or business on official company letterhead?</p>	<p>YES <input type="checkbox"/></p> <p>Continue to #39</p>	<p>NO <input type="checkbox"/></p> <p>Candidate should provide information to support the use of proposed ballot designation</p>
39.	<p>Has the candidate signed and dated the <i>Ballot Designation Worksheet</i>?</p>	<p>YES <input type="checkbox"/></p> <p>File with San Bernardino County Elections Office</p>	<p>NO <input type="checkbox"/></p> <p>Candidate must sign and date the <i>Ballot Designation Worksheet</i>, then File with the San Bernardino County Elections Office</p>



Ballot Designation Worksheet

General Municipal Election

November 3, 2020

Name of candidate: _____
First Middle Last

Office sought: _____
Office Name Office Term

Current residence address: _____
Street City Zip

Mailing address (if different): _____
Street/P.O. Box City Zip

Contact information: _____
Residence Phone Business Phone Cell Phone

E-mail: _____

Authorized Contact: _____
Name Authorization Level

Contact information: _____
Home Phone Business Phone

E-mail: _____

A ballot designation appears under the candidate's name on the ballot and describes that candidate's principal profession, vocation or occupation. The *Ballot Designation Worksheet* is a form that candidates use to request a ballot designation and to justify the reason for requesting that designation. There are specific rules regarding selecting a ballot designation, and these rules are outlined in Cal. Code of Regulations Code §20710-20719 and Cal. Elec. Code. §13107. Ballot designation requirements include but are not limited to the following:

- A ballot designation represents a candidate's true principal profession, vocation or occupation
- A ballot designation may not be more than three words
- An elected official may use "Incumbent" or his/her full official title as the ballot designation. Official elected titles are not subject to the three word limit
- An appointed official may use "Appointed Incumbent" or his/her full official title, accompanied with the word "appointed," as the ballot designation. Official titles are not subject to the three word limit
- A ballot designation is limited to approximately 48 characters including spaces and punctuation

Proposed Ballot Designation: _____

1st alternative: _____

2nd alternative: _____

Occupation justifying Ballot Designation: _____

Employer name or business: _____

Job Title: _____

Dates in position: From: _____ To: _____

Person(s) who can verify this information:

Name: _____ Phone Number: _____

Name: _____ Phone Number: _____

Name: _____ Phone Number: _____

There are specific laws and regulations that govern whether or not a ballot designation is acceptable or unacceptable for printing on the ballot. These rules are outlined in California Elections Code sections §13107, §13107.3, §13107.5 and California Code of Regulations sections §20710-20719. The laws and regulations on ballot designations are complex, and may be challenging to navigate. Please refer to the Candidate Filing Guide for assistance with navigating these laws and regulations.

Supporting Documentation Justifying Proposed Ballot Designations:

California Code of Regulations §20717(c) dictates that the candidate shall have the burden of establishing that the proposed ballot designation is accurate and complies with all provisions of Elections Code and California Code of Regulations.

California Code of Regulations §20717(a) dictates that time is of the essence regarding all matters pertaining to the review of ballot designations submitted by candidates. Failure to promptly submit requested supporting documentation will preclude consideration of such materials in and the rendering of a final decision on the candidate's proposed ballot designation.

The Registrar of Voters requires candidates to provide documentation to support their principal profession(s), vocation(s), or occupation(s). Candidates are encouraged to provide supporting documentation at the time they file the Ballot Designation Worksheet. If a candidate is not able to provide documentation at the time of filing, the Registrar of Voters allows candidates to provide supporting documentation within three business days from filing the Ballot Designation Worksheet. If a candidate fails to provide supporting documentation, the Registrar of Voters may not approve the candidate's designation for printing on the ballot.

In the space below, please describe your principal profession(s), vocation(s), or occupation(s). Also, please submit substantial documentation that demonstrates that your profession(s), vocation(s), or occupation(s) meet the definition for principal. In the space below, please itemize the documentation you are submitting.

[Empty space for candidate documentation]

I understand that my ballot designation will be translated and printed in Spanish. When translating my ballot designation in Spanish, I request that the Registrar of Voter (*check only one option below*):

- Translate using female nouns and pronouns, or
- Translate using male nouns and pronouns.

To the best of my knowledge and belief, the above-requested ballot designation(s) represent my true principal profession(s), vocations(s), or occupation(s). Furthermore, I understand that the Elections Office will not accept any ballot designation that violates any rules outlined in either California Code of Regulations §20710-20719, or Cal. Elec. Code §13107.

Executed on _____ at Montclair, California.
Date

Signature of Candidate

ISSUED

FILED

By: _____

Date: _____

GENERAL INFORMATION RELATED TO CANDIDATE STATEMENTS

Authorization – Elections Code Section 13307 permits candidates to file a Candidate Statement to be included in the sample ballot. Filing of this Statement is not mandatory but is permissible if a candidate desires to file such Statement and pays the appropriate fee.

Waiver – If you do not wish to submit a Candidate Statement, you will be required to sign a waiver of this right when you file your Nomination Paper.

Cost – The San Bernardino County Elections Office provides an estimate of the cost for printing, translating, and mailing Candidate Statements for City of Montclair candidates for the November 3, 2020 General Election. The estimate has not yet been provided but is anticipated to be no more than \$1,500. Statements must be translated into Spanish in San Bernardino County in order to comply with the Voting Rights Act of 1965, as amended, per Elections Code Section 13307.

After the accounting of election costs is completed, and if it is determined that the actual cost attributed to each Candidate's Statement is not the same as what was paid as a deposit, candidates will either receive a refund for the overpayment or be required to pay any additional cost within 30 days after notification of the balance due.

Access/Viewing – Candidate Statements are confidential until the filing period ends. At that time, they become public information and are subject to a public viewing period pursuant to Elections Code Section 13313. This section allows a ten-day viewing period of the official voter's pamphlet prior to submittal for printing. During this ten-day period, any voter of the jurisdiction in which the election is being held may seek a writ of mandate or an injunction requiring any or all of the material in the Candidate Statements to be amended or deleted.

VIEWING PERIOD FOR TYPESET VOTER PAMPHLET FOR THE NOVEMBER 3, 2020 GENERAL ELECTION

FOR REGULAR NOMINATION PERIOD:

August 7 – 16, 2020

FOR EXTENDED NOMINATION PERIOD:

August 13 – 22, 2020

Viewing your own as well as other Candidate Statements during this time helps to reduce errors and resolve differences before sample ballots are printed and distributed.

The City Clerk will check the voter's pamphlet proof for typesetting errors. Candidates are encouraged to review this document during the viewing period. No changes to what was originally submitted will be allowed. Only typesetting errors will be corrected during this period.

After the viewing period, the City Clerk's Office and Elections Office of the Registrar of Voters are not responsible for any typesetting errors unless they occur after the viewing period. If a statement is changed subsequent to and as the result of a Writ of Mandate, the author(s) would be given another opportunity to proof the corrected typeset copy.

Distribution – The Registrar of Voters shall send to each voter a Voter Information Guide that contains the written statements of each candidate who filed a Candidate Statement. The Voter Information Guide, including Candidate Statements, is translated into Spanish.

Submittal Deadline – Candidate Statements shall be filed with the City Clerk *when you file your Nomination Paper*. If the candidate filing period is extended because an incumbent has not filed a Nomination Paper, the deadline for filing the Candidate Statement is also extended.

Withdrawal/Change – Once a Candidate Statement has been filed, it cannot be changed; however, it may be withdrawn at any time during the filing period and until 5:00 p.m. on the next working day after the close of the candidate filing period.

Preparation/Content – The Candidate Statement shall be prepared on the form provided by the City Clerk. Detailed instructions on preparation and approved content are included with the Candidate Statement form. The City Clerk adheres to guidelines issued by the San Bernardino County Elections Office pertaining to Candidate Statements, and provides candidates with the County's Candidate Statement Guidelines.

In addition to an originally signed paper copy of the Candidate Statement Form, candidates shall also submit the document via email in electronic format to the City Clerk's Office at cityclerk@cityofmontclair.org.



State of California

ELECTIONS CODE

Section 13307

13307. (a) (1) Each candidate for nonpartisan elective office in any local agency, including any city, county, city and county, or district, may prepare a candidate's statement on an appropriate form provided by the elections official. The statement may include the name, age, and occupation of the candidate and a brief description, of no more than 200 words, of the candidate's education and qualifications expressed by the candidate himself or herself. However, the governing body of the local agency may authorize an increase in the limitations on words for the statement from 200 to 400 words. The statement shall not include the party affiliation of the candidate, nor membership or activity in partisan political organizations.

(2) The statement authorized by this subdivision shall be filed in the office of the elections official when the candidate's nomination papers are returned for filing, if it is for a primary election, or for an election for offices for which there is no primary. The statement shall be filed in the office of the elections official no later than the 88th day before the election, if it is for an election for which nomination papers are not required to be filed. If a runoff election or general election occurs within 88 days of the primary or first election, the statement shall be filed with the elections official by the third day following the governing body's declaration of the results from the primary or first election.

(3) Except as provided in Section 13309, the statement may be withdrawn, but not changed, during the period for filing nomination papers and until 5 p.m. of the next working day after the close of the nomination period.

(b) (1) The elections official shall send to each voter a county voter information guide that contains the written statements of each candidate that is prepared pursuant to subdivision (a). The statement of each candidate shall be printed in type of uniform size and darkness, and with uniform spacing.

(2) The elections official shall provide a Spanish translation to those candidates who wish to have one, and shall select a person to provide that translation who is one of the following:

(A) A certified and registered interpreter on the Judicial Council Master List.

(B) An interpreter categorized as "certified" or "professionally qualified" by the Administrative Office of the United States Courts.

(C) From an institution accredited by a regional or national accrediting agency recognized by the United States Secretary of Education.

(D) A current voting member in good standing of the American Translators Association.

(E) A current member in good standing of the American Association of Language Specialists.

(c) (1) In addition to the statement prepared pursuant to subdivision (a), if the elections official who is conducting the election permits electronic distribution of a candidate's statement, the governing body of a local agency may permit each candidate for nonpartisan elective office in the local agency to prepare a candidate's statement for the purpose of electronic distribution pursuant to this subdivision.

(2) A statement prepared pursuant to this subdivision shall be posted on the Internet Web site of the elections official, and may be included in a voter's pamphlet that is electronically distributed by the elections official pursuant to Section 13300.7, but shall not be included in a voter's pamphlet that is printed and mailed to voters pursuant to subdivision (b).

(3) A statement that is printed in the voter's pamphlet and mailed to voters pursuant to subdivision (b) shall be included with the statement that is prepared and electronically distributed pursuant to this subdivision.

(4) A statement that is prepared and electronically distributed pursuant to this subdivision shall be displayed in type of uniform size and darkness, and with uniform spacing.

(5) The elections official shall provide a Spanish translation to those candidates who wish to have one, and shall select a person to provide that translation who is one of the persons listed in paragraph (2) of subdivision (b).

(d) The local agency may estimate the total cost of printing, handling, translating, mailing, and electronically distributing candidate's statements filed pursuant to this section, including costs incurred as a result of complying with the federal Voting Rights Act of 1965, as amended. The local agency may require each candidate filing a statement to pay in advance to the local agency his or her estimated pro rata share as a condition of having his or her statement included in the county voter information guide or electronically distributed. In the event the estimated payment is required, the receipt for the payment shall include a written notice that the estimate is just an approximation of the actual cost that varies from one election to another election and may be significantly more or less than the estimate, depending on the actual number of candidates filing statements. Accordingly, the local agency is not bound by the estimate and may, on a pro rata basis, bill the candidate for additional actual expense or refund any excess paid depending on the final actual cost. In the event of underpayment, the local agency may require the candidate to pay the balance of the cost incurred. In the event of overpayment, the local agency that, or the elections official who, collected the estimated cost shall prorate the excess amount among the candidates and refund the excess amount paid within 30 days of the election.

(e) This section shall not be deemed to make any statement, or the authors of any statement, free or exempt from any civil or criminal action or penalty because of any false, slanderous, or libelous statements offered for printing electronic distribution pursuant to this section or contained in the county voter information guide.

(f) Before the nominating period opens, the local agency for that election shall determine whether a charge shall be levied against that candidate for the candidate's

statement sent to each voter and, if authorized pursuant to subdivision (c), for the electronically distributed candidate's statement. This decision shall not be revoked or modified after the seventh day before the opening of the nominating period. A written statement of the regulations with respect to charges for handling, packaging, mailing, and electronic distribution shall be provided to each candidate or his or her representative, at the time he or she picks up the nomination papers.

(g) For purposes of this section and Section 13310, the board of supervisors is the governing body of judicial elections.

(Amended by Stats. 2016, Ch. 422, Sec. 71.5. (AB 2911) Effective January 1, 2017.)

RESOLUTION NO. 20-3269

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF MONTCLAIR, CALIFORNIA, ADOPTING REGULATIONS FOR CANDIDATES FOR ELECTIVE OFFICE PERTAINING TO CANDIDATES' STATEMENTS SUBMITTED TO THE VOTERS AT AN ELECTION TO BE HELD ON TUESDAY, NOVEMBER 3, 2020

WHEREAS, Section 13307 of the Elections Code of the State of California provides that the governing body of any local agency adopt regulations pertaining to materials prepared by any candidate for a municipal election including cost of the Candidate's Statement.

NOW, THEREFORE, BE IT RESOLVED that the City Council of the City of Montclair, California, does hereby declare, determine, and order as follows:

Section 1. GENERAL PROVISIONS. Pursuant to Section 13307 of the Elections Code of the State of California, each candidate for elective office to be voted for at an Election to be held in the City of Montclair on Tuesday, November 3, 2020, may prepare a Candidate's Statement on an appropriate form provided by the City Clerk. The Statement may include the name, age, and occupation of the candidate and a brief description of no more than 200 words of the candidate's education and qualifications expressed by the candidate himself or herself. The Statement shall not include party affiliation of the candidate nor membership or activity in partisan political organizations. The Statement shall be filed in the Office of the City Clerk at the time the candidate's Nomination Papers are filed. The Statement may be withdrawn, but not changed, during the period for filing nomination papers and until 5:00 p.m. of the next working day after the close of the nomination period.

Section 2. FOREIGN LANGUAGE POLICY.

A. Pursuant to the Federal Voting Rights Act of 1965, as amended, Candidates' Statements will be translated into all languages required by the County of San Bernardino. The County is required to translate Candidates' Statements into the following languages: Spanish.

B. The County will print and mail voter information guides and Candidates' Statements to all voters in the City of Montclair or the County will mail separate voter information guides and Candidates' Statements in the City of Montclair to only those voters who are on the county voter file as having requested a voter information guide in a particular language. The County will make the voter information guides and candidates' statements in the required languages available at all polling places, on the County's website, and in the Elections Official office.

Section 3. PAYMENT.

A. The candidate shall be required to pay for the cost of printing the Candidate's Statement in English.

B. The candidate shall be required to pay for the cost of translating the Candidate's Statement into Spanish pursuant to State and/or Federal law.

C. The candidate shall be required to pay for the cost of printing the Candidate's Statement in Spanish.

D. The San Bernardino County Registrar of Voters Office ("County") will provide an estimate for the total cost of printing, handling, translating, and mailing of each Candidate's Statement filed pursuant to the Elections Code, including costs incurred as a result of complying with the Voting Rights Act of 1965, as amended. The City Clerk shall require each candidate filing a Statement to pay in advance the amount estimated by the County for his or her estimated pro rata share as a condition of having his or her Statement included in the Voter's Pamphlet. The estimate is just an approximation of the actual cost that varies from one election to another election and may be significantly more or less than the estimate, depending on the actual number of candidates filing statements. Accordingly, the City Clerk is not bound by the estimate and within 30 days after receiving the invoice from the County shall either bill each candidate for any cost in excess of the deposit or shall refund any unused portion of the deposit.



Registrar of Voters

Rules Governing Candidate Statements

A. Candidate Statement

A candidate statement is a written statement provided by the candidate that is printed in either the state or county *Voter Information Guide*.

Candidates who elect to have a statement printed in the Voter Information Guide are required to pay the estimated costs of including their candidate statement in the Voter Information Guide at the time of filing. The actual costs of inclusion will be determined after the election, and participating candidates will either receive a refund or be responsible for paying additional costs at that time.

Estimated costs for candidate statements are calculated by district per registered voter. Payments are accepted in the form of cash, personal check, cashier's check and money order, or credit card. Listed in Appendix Q are the estimated costs for candidate statements by district for this election.

B. Composing / Submitting a Candidate Statement

All candidates, regardless of whether or not they choose to publish a Candidate Statement, are required to complete and file a *Candidate Statement Form*. On this form, candidates will indicate whether or not they elect to file a candidate statement, and will submit the printed text of the statement if they choose to file one.

- Prior to composing their candidate statement, candidates should review the candidate statement rules and regulations below.
- Candidates may fill out the Candidate Statement Form prior to filing and then bring the statement with them when they file. The form can be accessed on the Registrar of Voters website at <http://www.sbcountyelections.com>.

Prior to publication, candidate statements are available for public examination for 10 days beginning immediately following the filing deadline. During the public examination period, the Registrar of Voters or any voter of the jurisdiction may seek a writ of mandate or an injunction requiring that any or all material in the candidate statement be amended or deleted (Cal. Elec. Code §13313(b)).

In addition to seeking a writ of mandate or an injunction, the Registrar of Voters may strike any language not in compliance with California Elections Code.

C. Candidate Statement Composition

California Elections Code §13307, §13307.5 and §13307 dictate the rules relating to the composition of candidate statements.

Candidate Statements for County, City, School District and Special District Offices

California Elections Code §13307 dictates that candidate statements shall be a brief description of no more than two-hundred words, shall be printed in type of uniform size and

darkness, and with uniform spacing. Jurisdictions may increase the maximum number of words allowed, up to four-hundred.

The Registrar of Voters interprets this to mean that candidate statements shall be typed in upper and lower case letters when appropriate, and not all capital letters. Additionally, candidate statements shall be free from non-standard or atypical spacing, and shall not contain any *italicized* or **bolded** letters.

California Elections Code §13307 dictates that candidate statements shall be a brief description that expresses the candidate's education and qualifications, and shall not include party affiliation of the candidate, nor membership or activity in partisan political organizations. Nothing in the candidate's statement shall be deemed to make any such statement or the authors thereof free or exempt from any civil or criminal action or penalty because of any false, slanderous or libelous statements.

California Elections Code §13308 requires that statements shall be limited to a recitation of the candidate's own personal background and qualifications. Statements shall not in any way make reference to other candidates for that office or to another candidate's qualifications, character, or activities. The election official shall not cause to be printed or circulated any statement that the election official determines is not so limited, or that includes any reference prohibited by this section.

It is the policy of the San Bernardino County Registrar of Voters that a candidate's background may include details regarding the candidate's platform. A candidate's platform describes what they stand for and what they intend to do if they are elected.

It is the policy of the San Bernardino County Registrar of Voters that if a candidate statement is determined to not be in compliance with the Elections Code, the Registrar of Voters may:

1. Strike any language not in compliance;
2. May not print or circulate the statement; or
3. May seek a writ of mandate or an injunction, requiring that the candidate statement be amended or deleted.

It is the policy of the Registrar of Voters that the candidate be fully responsible for ensuring that all spelling, punctuation, and grammar in a Candidate Statement is correct and free from errors. The Registrar of Voters is not responsible for proofreading for spelling, punctuation, and grammatical errors. Only a cursory review of the candidate's statement will be done at the time of filing to ensure that the statement is acceptable.

It is the policy of the Registrar of Voters that, in order for a candidate statement to be printed in the *Voter Information Guide*, candidate statements must fit inside a half page square that measures 4.79" wide by 3.14" tall, and must be printed in size 8 Arial font.

In computing the word count of a candidate statement, it is important for candidates to keep in mind that only the text of the statement is included in the calculation of the word count. The title of the candidate statement, which includes the candidate's name, age, and

occupation, does not affect the word count for a statement. Examples for counting words within a candidate statement are provided :

Category	Example	Word Count
Acronyms	SBSU, PTA, U.S.M.C., S.B.P.D.	One
Date	01/01/2010	One
Date	January 1, 2000	One
Email	jdoe@rov.sbcounty.gov	One
Geographical name- (Specific City, County, or State)	San Bernardino, or County of San Bernardino	One
Geographical area- (Not a Specific City, County, or State)	Victor Valley, or Inland Empire	Two
Hyphenated words (Published in U.S dictionary within the past 10 years)	mother-in-law	One
Hyphenated words (Not published in U.S dictionary within the past 10 years)	Taxpayer-advocate	Two
Internet address	www.sbcountyelections.com	One
Numbers	1, 10, or 100	One
Numerical Computations	50%, ½, etc.	One
Telephone numbers	(909) 387-8300	One
Symbols	& or #	One

D. Policy on Endorsements

It is the policy of the San Bernardino County Registrar of Voters that any named individual or specific organization listed as an endorsement in a candidate statement (see Example A below) must be verified as endorsing the candidate prior to printing in the *Voter Information Guide and Sample Ballot*. Verification of the endorsement must be in the form of a copy of a letter of endorsement, or in a direct communication from the endorser to the Registrar of Voters in the form of an email or facsimile correspondence. All endorsements or verification of endorsements from an individual or organization of a candidate must be submitted no later than five days after the end of the filing period.

Example A: "...I am endorsed by County Supervisor John Doe, Senator Jane Smith and the San Bernardino League of Women Voters."

In Example A, the Registrar of Voters would require an email, facsimile or copy of the letter of endorsement from Supervisor Doe, Senator Smith and the San Bernardino League of Women Voters to allow these endorsements to be printed.

Example B: "...I am endorsed by police, firefighters, nurses and teachers throughout San Bernardino County."

In Example B, the Registrar of Voters would not require verification of the endorsement because the statement does not identify a specific individual or organization.

E. Candidate Statement Examples

The following examples are provided to demonstrate the difference between an acceptable and unacceptable candidate statement:

Example of an Acceptable Candidate Statement

I believe all residents deserve a high quality of water, and excellent service at an affordable cost.

As your next elected member of the Board of Directors of the High Plains Water District, my legal education will enable me to advocate effectively on your behalf. My years of experience of having served on several boards has prepared me for working well with other board members – by supporting good policy and ensuring all important issues are discussed when tough decisions need to be made.

My family has lived in this community for over thirty years and we've been blessed to be able to give back to our community through many years of community volunteerism – my wife volunteers at our local senior center and boy's and girl's club, and our daughters have been known to sing and dance at or participate at various local community events.

Qualifications – Community Volunteer

- Board of Directors – Neighborhood Housing Services: 1985 – 2000.
- Commissioner – Community Action Commission: 2005 – Present
- Board of Directors – Douglasville Hospital: 2004-2006
- President – Occupational Health Committee 2010 – Present

Thank you for your support!

Vote for Thomas Garrison! Thank you for your support!

Example of an Unacceptable Candidate Statement

The highlighted portions are examples of what is not allowed in the candidate statement, including making reference to another candidate and improper formatting, such as using italics, bolding, improper capitalization, non-uniform spacing, and using various sized fonts.

I believe all residents deserve a high quality of water, and excellent service at an affordable cost. The current director, Tom Smith, hasn't been doing his job and is cheating the taxpayers.

As your next elected member of the Board of Directors of the High Plains Water District, *my legal education* will enable me to advocate effectively on your behalf. My years of experience of having served on several boards has prepared me for working well with other board members – by supporting good policy and ensuring all important issues are discussed when **tough decisions** need to be made.

My family has lived in this community for over Thirty Years and we've been blessed to be able to give back to our community through many years of **COMMUNITY VOLUNTEERISM**. My wife volunteers at our local senior center and boy's and girl's club, and our daughters have been known to sing and dance at or participate at various local community events.

Qualifications – Community Volunteer

- Board of Directors – Neighborhood Housing Services: 1985 – 2000.
- Commissioner – Community Action Commission: 2005 – Present
- Board of Directors – Douglasville Hospital: 2004-2006
- President – Occupational Health Committee 2010 – Present

Thank you for your support!

* * * * * Vote for Thomas Garrison! * * * * *

Candidate Statement Checklist

The following checklist is provided to assist candidates with identifying errors that may prevent a statement from being printed as intended in the *Voter Information Guide*:

1. Is your statement prepared on the form provided by the Registrar of Voters?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
2. (a) Federal & State Offices - Does your statement contain 250 words or less?		
OR	Yes <input type="checkbox"/>	No <input type="checkbox"/>
2. (b) Local Offices - Does your statement contain 200 words or less?		
3. Is your statement free of extra spaces?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
4. With the exception of acronyms, is your statement free of words spelled in all CAPITAL letters?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
5. Is your statement free of bold letters or characters?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
6. Is your statement free of italicized words?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
7. Is your statement free of references, direct or implied, to any other candidate or officeholder?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
8. Is your statement free of any references, direct or implied, to any other candidate or officeholder's qualifications, character, or activities?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
9. Is your statement free of any reference to your political party affiliation or partisan political activity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
10. Is your statement free of any false information, or information that may be deemed as slanderous or libelous?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
11. Is your statement limited to your own personal background, education, qualifications, and platform upon which you will run?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
12. If your statement contains endorsements, do you have documentation to present from the individual(s) or specific organization(s) endorsing you?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

If you answered "No" to any of the questions above, your statement may contain content that is prohibited by California Elections Code or Registrar of Voters policy.



Candidate Statement Form

2020 General Municipal Election

November 3, 2020

Name of Candidate as it will appear on ballot		Office Sought		
Mailing Address		City	State	Zip
Residence Phone	Cell Phone		Email Address	

I ELECT TO FILE A CANDIDATE STATEMENT

- I have read the Candidate Statement section(s) of the Registrar of Voters Candidate Filing Guide for this election, and affirm that my candidate statement as submitted on this form complies with California Elections Code and Registrar of Voters policy.
- I have been informed that the estimated cost and deposit for my candidate statement is \$ _____ .
- I agree that if the actual cost of the candidate statement exceeds the amount paid in advance, I will pay the additional sum to the City of Montclair within 30 days of the billing notification for such amount.
- I agree that if the amount billed is not paid within 30 days following such notification, and the Elections Official thereafter commences legal action against me for the recovery of said amount, I will pay all costs of such action, including costs and reasonable attorney's fees in an amount to be fixed by the court.
- I have been informed that if the amount paid in advance is more than the actual cost of the candidate statement, the Elections Official will refund the excess amount within 30 days of the City's receipt of the bill for actual cost of candidates' statements from the Registrar of Voters.
- I agree that any notice, refund or billing pertaining to my candidate statement shall be mailed to me at the address set forth above and shall be deemed completed upon deposit in the United States mail.
- I have been informed that I may withdraw my candidate statement no later than 5:00 p.m. of the next working day after the close of the candidate filing (nomination) period.

- I understand that my candidate statement will be translated and printed in Spanish. When translating my candidate statement in Spanish, I request that the Registrar of Voters (*check only one option below*):
 - Translate my statement using female nouns and pronouns, or
 - Translate my statement using male nouns and pronouns.

Signature of Candidate	Date
------------------------	------

Return signed Candidate Statement Forms along with your candidate statement deposit:

- By Mail or In Person:
 - City Clerk's Office, 5111 Benito Street, Montclair, CA 91763
 - Check is the only form of payment accepted by mail.
 - In-person deposits may be paid via cash, check, or credit card*.
- By Email & Phone:
 - Scan your signed Candidate Statement Form and email to cityclerk@cityofmontclair.org and
 - Call City Hall at 909-625-9471 to pay your candidate statement deposit by credit card*.

To receive assistance with completing and returning this form, please call the City Clerk's Office at (909) 625-9416 or email cityclerk@cityofmontclair.org.

*VISA and Mastercard are accepted. An additional 3% credit card fee will be charged, which is not part of the deposit. Cash and credit card payments are only be accepted during City Hall's regular business hours of Monday through Thursday, 7:00 a.m. to 6:00 p.m.

CANDIDATE NAME: Occupation:	Age:	FILED	
			Word Count:
			I affirm that I want my candidate statement printed in the <i>Voter Information Guide</i> .
			<i>Signature of Candidate</i>

NOTE: Age is optional.



Candidate Statement Form

Decline to File

2020 General Municipal Election

Name of Candidate as it will appear on ballot	Office Sought		
Mailing Address	City	State	Zip
I DO NOT ELECT TO FILE A CANDIDATE STATEMENT			
Signature of Candidate	Date		



Candidate Statement Withdrawal 2020 General Municipal Election

Name of Candidate as it will appear on ballot		Office Sought		
Mailing Address		City	State	Zip
Residence Phone	Business Phone	Cell Phone	Email Address	

I HEREBY WITHDRAW MY CANDIDATE STATEMENT

I request the City Clerk to refund the deposit amount paid in advance, within 30 days after the election.

Signature of Candidate	Date
------------------------	------



CITY OF MONTCLAIR

AFFIDAVIT OF FINANCIAL WORTH

IN SUPPORT OF

APPLICATION TO FILE CANDIDATE'S STATEMENT WITHOUT ADVANCE PAYMENT

NOTICE TO CANDIDATE

Pursuant to California Elections Code §13309, the Local Agency will review and make a final determination of your eligibility to submit a candidate statement without payment of the fee in advance.

If it is determined that you are not indigent, you will be notified of this finding. Within three days of notification, excluding Fridays, Saturdays, Sundays, and state holidays, you must either withdraw your statement or pay the requisite estimated cost. If you fail to respond within the time prescribed, your statement will not be printed and mailed.

If it is determined that you are indigent, the Elections Official shall print and mail the statement without requesting advance payment of the estimated cost. This, however, does not relieve you of your obligation to pay the actual pro rata share of the cost of your candidate statement after the election, as established by the Elections Official.

Applicant's Name

Applicant's Signature

Date

PLEASE PRINT LEGIBLY

APPLICATION TO FILE CANDIDATE'S STATEMENT WITHOUT ADVANCE PAYMENT

I, _____, state that I am unable to pay in advance the \$ _____ estimated cost required to file a Candidate Statement for the office of _____ to be printed and distributed to the voters at the _____ election.
(Name of Election)

I further swear or affirm that the responses which I have made to the questions and instructions below relating to my ability to pay said cost are true.

CANDIDATE INFORMATION					
NAME			HOME PHONE	SOCIAL SECURITY #	
STREET ADDRESS			WORK PHONE	VETERANS ADMIN. #	
CITY	STATE	ZIP	MESSAGE	PUBLIC ASSISTANCE CASE #	
TOTAL DEPENDENTS (List below. Attach additional sheet, if needed.)			OCCUPATION:		
NAME		AGE	EMPLOYER		
ADDRESS			STREET ADDRESS		
NAME		AGE	CITY	STATE	ZIP
ADDRESS			LENGTH OF EMPLOYMENT (If under 10 years, attach additional employment history)		
NAME		AGE	MONTHLY GROSS INCOME (Please attach copy of most recent pay stub)		
ADDRESS			TOTAL MONTHLY INCOME OF DEPENDENTS (Excluding spouse):		
SPOUSAL INFORMATION					
NAME			SOCIAL SECURITY #	HOME PHONE	
STREET ADDRESS (If different)			WORK PHONE	MESSAGE	
CITY	STATE	ZIP	MONTHLY GROSS INCOME		
OCCUPATION			CONTINUE TO THE NEXT PAGE		
EMPLOYER					
STREET ADDRESS					
CITY	STATE	ZIP			

PLEASE PRINT LEGIBLY

OTHER MONTHLY INCOME			
a. Unemployment & Disability	\$	g. Income Property	\$
b. Social Security	\$	h. Personal Loans	\$
c. Public Assistance	\$	i. Employment Bonus	\$
d. Veteran's Benefits	\$	j. Other (Specify)	
e. Spousal Support Payments	\$		
f. Child Support Payments**	\$		
** If you are receiving any child support from any other person, complete the following:			
NAME OF PERSON PAYING SUPPORT		AMOUNT OF SUPPORT RECEIVED \$	
INDICATE WHETHER SUCH SUPPORT IS RECEIVED <input type="checkbox"/> DIRECT <input type="checkbox"/> THROUGH A PROBATION DEPARTMENT <input type="checkbox"/> FROM A COURT			
MONTHLY EXPENSES			
a. Rent, Lease or Mortgage Payment (Circle One)	\$	g. Food	\$
b. Car Payments	\$	h. Utilities	\$
c. Medical & Dental Payments	\$	i. Clothing	\$
d. Loan Payments	\$	j. Transportation	\$
e. Support Payments	\$	k. Other expenses (Please Specify)	\$
f. Insurance	\$		
INSTALLMENT PAYMENTS, OTHER THAN LISTED ABOVE			
NAME OF CREDITOR (Attach sheet for additional creditors)	MONTHLY PAYMENT	BALANCED OWED	
a.	\$	\$	
b.	\$	\$	
c.	\$	\$	
ASSETS			
WHAT DO YOU OWN? (Attach additional sheet if necessary)			VALUE
a. Cash			\$
b. House Equity			\$
c. Cars, Other Vehicles & Boat Equity (List make, year & license number of each)			\$
CONTINUE TO THE NEXT PAGE			

PLEASE PRINT LEGIBLY

d. Checking, Savings & Credit Union Accounts (Lists names of each)		\$
e. Other Real Estate Equity		\$
f. Income Tax Refunds Due		\$
g. Other Personal Property (jewelry, furniture, furs, stocks & bonds, etc.)		\$
h. Other assets (IRA's stock/bonds, trust, etc.)		\$
	TOTAL	\$

The information given is to assist the Elections Official in making determination of candidate indigent status, pursuant to California Elections Code §13309. I agree to provide a copy of my most recent federal income tax report, if requested.

I declare under penalty of perjury that this statement (including any accompanying documentation) has been examined by me and to the best of my knowledge and belief is true, correct and complete.

SIGNATURE

DATE



**CITY OF MONTCLAIR
2020 GENERAL MUNICIPAL ELECTION**

ELECTION CALENDAR

<u>Date / Deadline / Filing Period</u>	<u>Description</u>
June 15.....	The City Council called an election and adopted related documents to place Council seats on the November 3, 2020 ballot.
July 3.....	Published Notice of Election
June 29 – Oct 27.....	Publish Notice of Measures
July 13 – August 6.....	Filing period for Nomination Documents (the “Nomination Period”).
July 31.....	FPPC Form 460 Filing Deadline — Semi–Annual Campaign Statements for the period covering January 1 – June 30, 2020.
August 5 – November 3.....	Late Contributions (Form 496) and Late Independent Expenditures (Form 497) of \$1,000 or more must be reported within 24 hours Late receipt of each in–kind contribution during this period with a value of \$1,000 or more must be reported within 48 hours.
August 6.....	<u>Regular Filing Deadline</u> – Last day to file Nomination Documents.
August 12.....	<u>Extended Filing Deadline</u> – Last day to file Nomination Documents if Incumbent does not file—an Incumbent may not file after August 6.
August 7 – 16 or August 13 – 22.....	Ten-day period during which Candidate Statements may be viewed by the public (Regular & Extended Periods).
August 10 or 13.....	Deadlines to withdraw Candidate Statements (Regular & Extended Periods).
August 12.....	Last day to file Nomination Documents for Office for which an Incumbent has not filed.
August 13.....	Secretary of State to determine order of Candidates' names on ballot.
August 20.....	Cancel election if insufficient number of Candidates.
September 7 – October 20.....	Write–In Candidate filing period.
September 4.....	Political sign posting period begins.
October 5 – 27.....	Mail ballots sent to U.S. Post Office for delivery to voters.
October 5 – November 3.....	Mail ballot drop–off period. Find Locations: www.sbcountyelections.com
September 29 – October 13.....	Voter Information Guides mailed to voters by County Elections Office.
September 24.....	Last day to file First Pre–Election FPPC Campaign Statements (Form 460) for the <u>July 1 – September 19, 2020</u> reporting period.
October 22.....	Last day to file Second Pre–Election FPPC Campaign Statements (Form 460) for the <u>September 20 – October 17, 2020</u> reporting period.
October 27.....	Last day to publish Notice of Nominees.
November 3.....	Election Day
November 4.....	Registrar of Voters to begin canvassing Election returns.
November 13.....	Political sign posting periods ends 10 days after Election Day.
December 11.....	Last day to install newly elected Council Members.
February 1, 2021.....	Last day to file FPPC Semiannual Campaign Statements (Form 460) for the <u>October 18 – December 31, 2020</u> reporting period.

RESOLUTION NO. 20-3268

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF MONTCLAIR, CALIFORNIA, CALLING AND GIVING NOTICE OF THE HOLDING OF A GENERAL MUNICIPAL ELECTION TO BE HELD ON TUESDAY, NOVEMBER 3, 2020, FOR THE ELECTION OF CERTAIN OFFICERS AS REQUIRED BY THE PROVISIONS OF THE LAWS OF THE STATE OF CALIFORNIA RELATED TO GENERAL LAW CITIES

WHEREAS, under the provisions of the laws related to General Law cities in the State of California, a General Municipal Election shall be held on Tuesday, November 3, 2020, for the election of Municipal Officers.

NOW, THEREFORE, BE IT RESOLVED that the City Council of the City of Montclair, California, does hereby declare, determine, and order as follows:

Section 1. That pursuant to the requirements of the laws of the State of California related to General Law cities, there is called and ordered to be held in the City of Montclair, California, on Tuesday, November 3, 2020, a General Municipal Election for the purpose of electing two Members of the City Council for full terms of four years each, and one Member of the City Council for a partial term of two years.

Section 2. That the ballots to be used at the election shall be in form and content as required by law.

Section 3. That the City Clerk is authorized, instructed, and directed to procure and furnish any and all official ballots; notices; printed matter; and all supplies, equipment, and paraphernalia that may be necessary in order to properly and lawfully conduct the election.

Section 4. That the polls for the election shall be open at 7:00 a.m. of the day of the election and shall remain open continuously from that time until 8:00 p.m. of the same date when the polls shall be closed, except as provided in Section 14401 of the Elections Code of the State of California.

Section 5. That in all particulars not recited in this Resolution, the election shall be held and conducted as provided by law for holding municipal elections.

Section 6. That notice of the time and place of holding the election is given and the City Clerk is authorized, instructed, and directed to give further or additional notice of the election in time, form, and manner as required by law.

Section 7. That the City Clerk shall certify to the passage and adoption of this Resolution and enter it into the book of original Resolutions.

APPROVED AND ADOPTED this 15th day of June, 2020.



Mayor

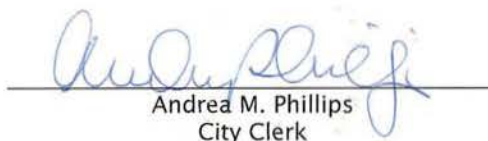
ATTEST:



City Clerk

I, Andrea M. Phillips, City Clerk of the City of Montclair, DO HEREBY CERTIFY that Resolution No. 20-3268 was duly adopted by the City Council of said city and was approved by the Mayor of said city at a regular meeting of said City Council held on the 15th day of June, 2020, and that it was adopted by the following vote, to-wit:

AYES: Martinez, Johnson, Ruh, Raft, Dutrey
NOES: None
ABSTAIN: None
ABSENT: None



Andrea M. Phillips
City Clerk

Section 4. ADDITIONAL MATERIALS. No candidate will be permitted to include additional materials in the sample ballot package.

Section 5. MISCELLANEOUS.

A. All translations shall be provided by professionally-certified translators.

B. Candidates' Statements will be printed as submitted in type of uniform size and darkness, and with uniform spacing. Spelling, punctuation, and grammatical errors will not be corrected by the Elections Official. Statements should be typed in upper- and lowercase (not all "CAPS"), single-spaced, in block paragraph form with no indentations. The City Clerk, as the Elections Official, shall have the authority to make formatting corrections or to strike any language not in compliance with the Elections Code.

C. The City Clerk shall comply with all recommendations and standards set forth by the California Secretary of State regarding occupational designations and other matters relating to elections.

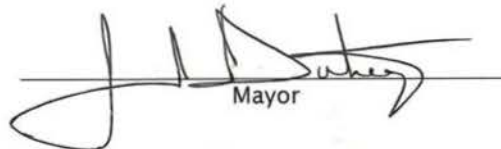
Section 6. The City Clerk shall provide each candidate or the candidate's representative a copy of this Resolution at the time nomination papers are issued.

Section 7. All previous Resolutions establishing Council policy on payment for Candidate's Statements are repealed.

Section 8. This Resolution shall apply only to the election to be held on Tuesday, November 3, 2020, and shall then be repealed.

Section 9. The City Clerk shall certify to the passage and adoption of this Resolution and enter it into the book of original Resolutions.

APPROVED AND ADOPTED this 15th day of June, 2020.



Mayor

ATTEST:



City Clerk

I, Andrea M. Phillips, City Clerk of the City of Montclair, DO HEREBY CERTIFY that Resolution No. 20-3269 was duly adopted by the City Council of said city and was approved by the Mayor of said city at a regular meeting of said City Council held on the 15th day of June, 2020, and that it was adopted by the following vote, to-wit:

AYES: Martinez, Johnson, Ruh, Raft, Dutrey
NOES: None
ABSTAIN: None
ABSENT: None



Andrea M. Phillips
City Clerk

RESOLUTION NO. 20-3270

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF MONTCLAIR, CALIFORNIA, REQUESTING THE BOARD OF SUPERVISORS OF THE COUNTY OF SAN BERNARDINO TO CONSOLIDATE A GENERAL MUNICIPAL ELECTION TO BE HELD ON TUESDAY, NOVEMBER 3, 2020, WITH THE PRESIDENTIAL GENERAL ELECTION TO BE HELD ON THE DATE PURSUANT TO SECTION 10403 OF THE CALIFORNIA ELECTIONS CODE

WHEREAS, the City Council of the City of Montclair, California, called a General Municipal Election to be held on Tuesday, November 3, 2020, for the purpose of the election of two Members of the City Council for full four-year terms, and one Member of the City Council for a partial two-year term; and

WHEREAS, it is desirable that the General Municipal Election be consolidated with the Presidential General Election to be held on the same date and that within the City the precincts, polling places, and election officers of the two elections be the same and that the San Bernardino County Registrar of Voters Office canvass the returns of the General Municipal Election and that the election be held in all respects as if there were only one election.

NOW, THEREFORE, BE IT RESOLVED that the City Council of the City of Montclair, California, does hereby declare, determine, and order as follows:

Section 1. That pursuant to the requirements of Section 10403 of the California Elections Code, the Board of Supervisors of the County of San Bernardino is hereby requested to consent and agree to the consolidation of a General Municipal Election with the Presidential General Election to be held on Tuesday, November 3, 2020, for the purpose of the election of two Members of the City Council.

Section 2. That the San Bernardino County Registrar of Voters Office is authorized to canvass the returns of the General Municipal Election. The election shall be held in all respects as if there were only one election, and only one form of ballot shall be used.

Section 3. That the Board of Supervisors is requested to issue instructions to the Registrar of Voters Office to take any and all steps necessary for the holding of the consolidated election.

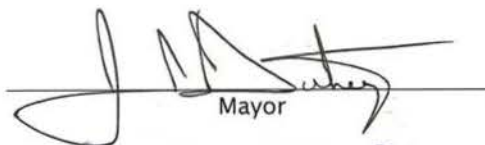
Section 4. That the City of Montclair recognizes that additional costs will be incurred by the County by reason of this consolidation and agrees to reimburse the County for any such costs.

Section 5. That in the event of a tie vote (if any two or more persons receive an equal and the highest number of votes for an office) as certified by the County of San Bernardino Registrar-Recorder/County Clerk, the City Council, in accordance with Election Code Section 15651(a) shall set a date and time and place and summon the candidates who have received the tie votes to appear and the City Clerk will determine the winner by lot.

Section 6. That the City Clerk is hereby directed to file a certified copy of this Resolution with the Board of Supervisors and the Registrar of Voters Office of the County of San Bernardino.

Section 7. That the City Clerk shall certify to the passage and adoption of this Resolution and enter it into the book of original Resolutions.

APPROVED AND ADOPTED this 15th day of June, 2020.



Mayor

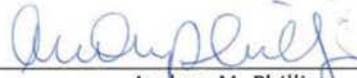
ATTEST:



City Clerk

I, Andrea M. Phillips, City Clerk of the City of Montclair, DO HEREBY CERTIFY that Resolution No. 20-3270 was duly adopted by the City Council of said city and was approved by the Mayor of said city at a regular meeting of said City Council held on the 15th day of June, 2020, and that it was adopted by the following vote, to-wit:

AYES: Martinez, Johnson, Ruh, Raft, Dutrey
NOES: None
ABSTAIN: None
ABSENT: None



Andrea M. Phillips
City Clerk

CAMPAIGN LAWS AND REGULATIONS

There are several laws and regulations relating to the conduct of candidates and campaigns organizations. The codes below may be of interest to candidates and campaign managers. The following information is intended to be used as reference only. Refer to the appropriate statutes, including Elections and Government Codes for more information, and consult with an attorney for questions about these statutes.

A. Political Sign Regulations

The following guidelines pertaining to the posting of temporary political signs in San Bernardino County areas are provided to be of assistance. For more detailed information, contact your local code enforcement office.

1. County Definition of Temporary Political Signs

In unincorporated areas of the county, temporary political signs are typically identified by one of the following:

- The name or a picture of an individual seeking election or appointment to a public office.
- Related to an upcoming public election or referendum.
- Advocates a person, group, or party's political views or policies.

2. County Permitted Uses of Temporary Political Signs

Temporary political signs placed in unincorporated areas of the county are subject to specific regulations. Listed below are some rules that candidates should be aware of. Temporary political signs shall:

- Be removed within 30 days after the same election.
- Have a maximum area of 8 square feet in residential land use districts and 32 square feet in all other land use districts, unless the sign is an accessory (e.g. campaign headquarters) or a permissible primary sign.
- Not be erected within any street intersection, sight triangle or at any location where the sign may interfere with, obstruct the view of, or be confused with any authorized traffic sign.
- Be nailed or affixed to any tree, fence post or public utility pole and shall not be located in the public right-of-way, parkway or on publicly owned land.

3. Signs Prohibited in Public Rights-of -Way

Political signs may not be placed on or within San Bernardino County flood control or City of Montclair road and public rights-of-way.

4. State Political Sign Regulations

The City Clerk provides each candidate with the Department of Transportation's Statement of Responsibility Form, and the City's Political Campaign Sign Posting Guidelines. If a candidate requires additional information about state regulations, candidates are advised to contact the Department of Transportation office at 464 West 4th Street, San Bernardino, CA 92401, or by phone at (909) 383-4631.

It is unlawful to post signs on utility poles. California Penal Code § 566.1 and § 591 prohibit posting political placards and leaflets or any other information or advertisement. The offense is listed as a misdemeanor punishable by a fine of \$500 and a maximum one-year imprisonment.

5. Statement of Responsibility for Temporary Political Signs

The State Outdoor Advertising Act §5405.3 exempts the placing of temporary political signs from normal outdoor advertising display requirements. However, temporary political signs must meet specific criteria. Temporary political signs must:

- Encourage a particular vote in a scheduled election.
- Not be placed sooner than 90 days prior to the scheduled election.
- Be removed within 10 days after that election.
- Not be larger than 32 square feet.

Candidates that place temporary political signs are required to file a Statement of Responsibility with the Department of Transportation, certifying the person who will be responsible for removing the sign. The City Clerk provides each candidate with the Department of Transportation's Statement of Responsibility Form. Candidates must submit completed forms to the Division of Traffic Operations at the address located on the form.

6. County Political Sign Restrictions

For specific political sign restrictions in unincorporated areas of the county, candidates should contact the following County offices:

- Building and Safety
- Code Enforcement
- Fire Hazard Abatement
- Planning

To reach one of the specified County offices, contact the Land Use Services Department, during regular business hours via email at luscustomerservice@lus.sbcounty.gov or by contacting one of the following locations:

- County Gov. Center, 385 N. Arrowhead Ave., San Bernardino: (909) 387-8311
- Jerry Lewis High Desert Government Center, 15900 Smoke Tree St., Ste. 131, Hesperia: (760) 995-8140

7. City Political Sign Regulations

The placement of temporary signs within city limits is regulated by city ordinance. Candidates are advised to review [§ 11.72.380 of the Montclair Municipal Code](#) for these regulations.

B. Campaign Literature

The statute number following the (§) symbol references the corresponding Elections Code.

§ 18301 – Printing of simulated sample ballots – In addition to any other penalty, a person who prints or otherwise duplicates, or causes to be printed or duplicated, a simulated ballot or simulated county voter information guide that does not contain the statement required by Section 20009, or that uses an official seal or insignia in violation of Section 20009, is guilty of a misdemeanor.

§ 18302 – Distribution of precinct polling place information –

- A person is guilty of a misdemeanor who knowingly causes to be mailed or distributed, or knowingly mails or distributes, literature to a voter that includes a designation of the voter's precinct polling place other than a precinct polling place listed for that voter in an official precinct polling list that constituted the latest official precinct polling list at some time not more than 30 days prior to the mailing or distribution.
- A person is guilty of a misdemeanor who, with actual knowledge and intent to deceive, causes to be distributed or distributes, including distribution by mail, radio or television broadcast, telephone call, text message, email, or any other electronic means, including over the Internet, literature or any other form of communication to a voter that includes any of the following:
 - The incorrect location of a vote center, office of an elections official, satellite office of an elections official where voting is permitted, vote by mail ballot drop box, or vote by mail ballot drop-off location.
 - False or misleading information regarding the qualifications to vote or to register to vote.
 - False or misleading information regarding the date of an election or the days, dates, or times voting may occur at a place described in paragraph (1).

§ 18303 – Mass mailing penal provisions – 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.

§ 18304 – Use of seal in campaign literature is misdemeanor –

- (a) Any person who uses or allows to be used any reproduction or facsimile of the seal of the county or the seal of a local government agency in any campaign literature or mass mailing, as defined in Section 82041.5 of the Government Code, 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.
- (c) For purposes of this section, the term “local government agency” means a school district, special or other district, or any other board, commission, or agency of local jurisdiction.

C. Political Meetings

§ 18340 – Threats, intimidations or violence – Every person who, by threats, intimidations, or unlawful violence, willfully hinders or prevents electors from assembling in public meetings for the consideration of public questions is guilty of a misdemeanor.

D. Misrepresentation of Candidates

§ 18350 – Misleading voters –

- (a) A person is guilty of a misdemeanor who, with intent to mislead the voters in connection with his or her campaign for nomination or election to a public office, or in connection with the campaign of another person for nomination or election to a public office, does either of the following acts:
- (1) Assumes, pretends, or implies, by his or her statements, conduct, or campaign materials, that he or she is the incumbent of a public office when that is not the case.
 - (2) Assumes, pretends, or implies, by his or her statements, conduct, or campaign materials, that he or she is or has been acting in the capacity of a public officer when that is not the case.
- (b) A violation of this section may be enjoined in a civil action brought by a candidate for the public office involved.

§ 18351 – False statements in candidate statement – Any candidate in an election or incumbent in a recall election who knowingly makes a false statement of a material fact in a candidate’s statement, prepared pursuant to Section 11327 or 13307, with the intent to mislead the voters in connection with his or her campaign for nomination or election to a nonpartisan office is punishable by a fine not to exceed one thousand dollars (\$1,000).

E. Electioneering

§ 18370 – Electioneering within 100 feet of a polling place. – No person, on election day, or at any time that a voter may be casting a ballot within 100 feet of a polling place, a satellite location under Section 3018, or an election official's office shall:

- Circulate an initiative, referendum, recall, nomination petition or any other petition.
- Solicit a vote or speak to a voter on the subject of marking his or her ballot.

- Place a sign relating to voters' qualifications or speak to a voter on the subject of his or her qualifications, except as provided in Section 14240.
- Do any electioneering as defined by Section 319.5.

As used in this section, "100 feet of a polling place, a satellite location under Section 3018, or an election official's office" means a distance 100 feet from the room or rooms in which voters are signing the roster and casting ballots.

Any person who violates any of the provisions of this section is guilty of a misdemeanor.

§ 18371 – Electioneering during vote by mail period –

- (a) No candidate or representative of a candidate, and no proponent, opponent, or representative of a proponent or opponent, of an initiative, referendum, or recall measure, or of a charter amendment, shall solicit the vote of a vote by mail voter, or do any electioneering, while in the residence or in the immediate presence of the voter, and during the time he or she knows the vote by mail voter is voting.
- (b) Any person who knowingly violates this section is guilty of a misdemeanor.
- (c) This section shall not be construed to conflict with any provision of the federal Voting Rights Act of 1965, as amended, nor to preclude electioneering by mail or telephone or in public places, except as prohibited by Section 18370, or by any other provision of law.

F. Truth in Endorsement Laws

§ 20001(4) – Legislature's findings – The voting public is entitled to protection by law from deception in political campaigns in the same manner and for the same reasons that it is entitled to protection from deception by advertisers of commercial products.

§ 20006 – Restraining order or injunction – The superior court, in any case brought before it by any registered voter, may issue a temporary or permanent restraining order or injunction against the publication, printing, circulation, posting, broadcasting, or telecasting of any matter in violation of this chapter, and all cases of this nature shall be in a preferred position for purposes of trial and appeal, so as to assure the speedy disposition thereof.

§ 20007 – Representation requirements – No candidate or committee in his or her behalf shall represent in connection with an election campaign, either orally or in campaign material, that the candidate has the support of a committee or organization that includes as part of its name the name or any variation upon the name of a qualified political party with which the candidate is not affiliated, together with the words "county committee," "central committee," "county," or any other term that might tend to mislead the voters into believing that the candidate has the support of that party's county central committee or state central committee, when that is not the case.

This section shall not be construed to prevent a candidate or committee from representing that the candidate has the support of a committee or group of voters affiliated with

another political party, which committee or group is identified by the name of that party, where the name of the committee or group also includes the name of the candidate.

§ 20008 – Political advertisement requirements – Any paid political advertisement that refers to an election or to any candidate for state or local elective office and that is contained in or distributed with a newspaper, shall bear on each surface or page thereof, in type or lettering at least half as large as the type or lettering of the advertisement or in 10-point roman type, whichever is larger, the words “Paid Political Advertisement.” The words shall be set apart from any other printed matter.

As used in this section “paid political advertisement” shall mean and shall be limited to, published statements paid for by advertisers for purposes of supporting or defeating any person who has filed for an elective state or local office.

G. Fair Campaign Practices

§ 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.

H. Libel and Slander

§ 20500 – Election campaigns – This section is about libel and slander in campaign advertising or communication.

§ 20501 – Persons liable –

- (a) A candidate or state measure proponent is liable for any slander or libel committed by a committee that is controlled by that candidate or state measure proponent as defined by Section 82016 of the Government Code if the candidate or state measure proponent willfully and knowingly directs or permits the libel or slander.
- (b) A person who is a sponsor of a sponsored committee, as defined by Section 82048.7 of the Government Code, is liable for any slander or libel committed by the sponsored committee if the sponsor willfully and knowingly directs or permits the libel or slander.

I. Mailings

The statute number following the (§) symbol references the corresponding California Government Code.

§ 82041.5 – Mass mailing – “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.

§ 84305 – Mass mailing Slate mailers requirements –

(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 84502 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).

(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.

(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 84217, 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.

§ 84310 – Telephone calls supporting or opposing a candidate or ballot measure –

(a) A candidate, candidate controlled committee established for an elective office for the controlling candidate, political party committee, or slate mailer organization shall not expend campaign funds, directly or indirectly, to pay for telephone calls that are similar in nature and aggregate 500 or more in number, made by an individual, or individuals, or by electronic means and that advocate support of, or opposition to, a candidate, ballot measure, or both, unless during the course of each call the name of the candidate, candidate controlled committee established for an elective office for the controlling candidate, political party committee, or slate mailer organization that authorized or paid for the call is disclosed to the recipient of the call. Unless the organization that authorized the call and in whose name it is placed has filing obligations under this title, and the name announced in the call either is the full name by which the organization or individual is identified in any statement or report required to be filed under this title or is the name by which the organization or individual is commonly known, the candidate, candidate controlled committee established for an elective office for the controlling candidate, political party committee, or slate mailer organization that paid for the call shall be disclosed. This section does not apply to telephone calls made by the candidate, the campaign manager, or individuals who are volunteers.

(b) Campaign and ballot measure committees are prohibited from contracting with any phone bank vendor that does not disclose the information required to be disclosed by subdivision (a).

- (c) A candidate, committee, or slate mailer organization that pays for telephone calls as described in subdivision (a) shall maintain a record of the script of the call for the period of time set forth in Section 84104. If any of the calls qualifying under subdivision (a) were recorded messages, a copy of the recording shall be maintained for that period.
- (d) This section does not apply to a telephone call that is paid for by an independent expenditure.

MASS MAILING (Government Code §84305)¹

(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 84502 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).

(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.

(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 84217, 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.

¹ *The complete text of Government Code §84305 is required by law to be issued to each candidate at the time that candidate files the Declaration of Candidacy.*



Political Campaign Sign Posting Guidelines

The City of Montclair kindly requests that those associated with campaigns for ballot measures or candidates that qualify for elections being conducted within the boundaries of the City of Montclair:

- Not display campaign signs until Friday, September 4, 2020.
(60 days before Election Day);
- Ensure that their signs do not exceed 8 square feet in total area (signs may be double-sided);
- Not place political signs on any public property or in the public right-of-way;
- Not place or affix signs to a tree, fence, post, utility pole, equipment, or any other structure by any means;
- Not place political signs on properties without the owner's permission;
- For vacant lots, will affix to the back of the sign a copy of a declaration of the property owner's permission of sign placement that includes the name, address, phone number, and signature of the property owner;
- Ensure that all of their campaign signs are removed by Friday, November 13, 2020.
(10 days after Election Day)

I, _____, hereby voluntarily agree to abide by the guidelines set forth above in relation to an election to take place on November 3, 2020.
(Date of Election)

Campaign/Committee Title: _____

FPPC Committee ID Number (if applicable): _____

Signature

Date

Relation to Campaign

Contact Phone Number

Mailing Address _____

Contact E-Mail Address

DEPARTMENT OF TRANSPORTATION

DIVISION OF TRAFFIC OPERATIONS
OUTDOOR ADVERTISING PROGRAM
P.O. BOX 942874, MS-36
SACRAMENTO, CA 94274-0001
PHONE (916) 654-6473
FAX (916) 651-9359
TTY 711
www.dot.ca.gov



*Making Conservation
a California Way of Life.*

Dear Candidate or Committee Member:

As a candidate or campaign worker for either office or a ballot measure, this reminder about State law governing campaign signs should be helpful to you.

Section 5405.3 of the State Outdoor Advertising Act exempts the placing of Temporary Political Signs from normal outdoor advertising display requirements.

A Temporary Political Sign meets the following criteria:

- A. Encourages a particular vote in a scheduled election.
- B. Is placed no sooner than 90 days prior to the scheduled election and is removed within 10 days after that election.
- C. Is no larger than 32 square feet.
- D. Has had a Statement of Responsibility filed with the Department certifying a person who will be responsible for removing the sign (Attached).

A completed Statement of Responsibility must be submitted to:

Division of Traffic Operations
Outdoor Advertising Program
P.O. Box 942874, MS-36
Sacramento, CA 94274-0001

Temporary Political Signs shall not be placed within the right-of-way of any highway, and be visible within 660 feet from the edge of the right-of-way of a classified "Landscaped freeway".

State law directs the Department of Transportation to remove unauthorized Temporary Political Signs and bill the responsible party for their removal. We are calling these provisions to your attention to avoid possible embarrassment or inconvenience to you and your supporters. Please share this information with those assisting in your campaign.

Should you have any questions, comments or need additional information, please call (916) 654-6473.

Enclosure

ODA-0027

**STATEMENT OF RESPONSIBILITY
FOR TEMPORARY POLITICAL SIGNS**

ODA-0027 (REV 10/2019)

Election Date: _____ March _____ November Other: _____

Candidate's Name: _____

Office sought or Proposition Number: _____

County where sign(s) will be placed: _____

Number of signs to be placed: _____

RESPONSIBLE PARTY:

Name: _____

Address: _____

Phone Number (Include Area Code): _____

Email (Optional): _____

The undersigned hereby accepts responsibility for the removal of Temporary Political Signs placed pursuant to Section 5405.3 of the Outdoor Advertising Act for the above candidate or proposition.

It is understood and agreed that any Temporary Political Signs placed sooner than ninety (90) days prior to the election and/or not removed within ten (10) days after the election, may be removed by the Department and the responsible party will be billed for any associated removal costs.

Signature of Responsible Party

Date

Mail Statement of Responsibility to:

Department of Transportation
Division of Traffic Operations
Outdoor Advertising Program
P.O. Box 942874, MS-36
Sacramento, CA 94274-0001
Email: ODA@dot.ca.gov

June 18, 2020

City of Montclair
5111 Benito Street
Montclair, CA 91763

Re: **Campaign Signs On Utility Poles.**

Dear Madam City Clerk,

With election season on the horizon, Southern California Edison Co. (SCE) is once again reminding that it is unlawful to post election materials on utility poles.

This practice violates California Penal Code 556.1 and 591, which prohibits posting political placards and leaflets, or any other information or advertisement regarding community events, garage sales, or lost animals. Listed as a misdemeanor, the Penal Code states that the offense is punishable by a fine of \$500 and a maximum one-year imprisonment.

The law protects SCE linemen and their crews who use the poles in their work. Nails or other fasteners used to hold signs create a hazard for these employees.

We certainly appreciate your cooperation in advising political candidates and campaign workers to refrain from placing signs and placards on utility poles.

Sincerely,

Jennifer Menjivar-Shaw
Government Relations Manager



Elections Office of the Registrar of Voters

Products

Polling Place List

This list consists of all the locations designated as polling places for a specific election. It can be generated for the entire county or for a specific district according to the needs of the purchaser. The list include precinct number, precinct name, the ballot type designated to each precinct, and the name and address of the polling location. This list is typically generated in .pdf format but can also be exported in .csv format. Polling Place lists can be helpful for strategic campaign sign placement.

Computer Generated Maps

Printed District Maps

Printed paper maps are available to purchase for:

- Districts with precinct labels and some street level detail
- Individual precincts with some street level detail
- County of San Bernardino and political boundaries (i.e. Congressional, State Senate, etc.).

The size of the map purchased will depend on the level of detail that the purchaser is looking to see. Larger districts may require multiple sheets in order to provide the best street and precinct level details.

Electronic maps or GIS Exports

Maps can also be generated in an electronic format and generally comes as a .pdf. In the electronic format it allows the purchaser the ability to enlarge the file for easy viewing or to print in greater or lesser detail. The map may be emailed or placed on a CD-ROM. For larger districts this information may have to be placed on more than one CD-ROM. The number of CD-ROM's needed will be determined by the GIS department.

Multi-Purpose Voter Files

As the name suggests, these files serve multiple purposes. These reports are generated in a .TXT format, but can be easily opened with any spreadsheet program for data manipulation. The information provided by the file includes but is not limited to: voter name, residence address, mailing address, party preference (if any), place of birth, date of birth, phone number (if provided), e-mail address (if provided), precinct number, and precinct name. Voter files can be generated using any of the following: specific district, party preference, mail ballot status, and/or voting history. They can also include additional voting history fields for elections specified on the request form. Information on this list can be used to create mailing labels, phone bank lists, walking lists, e-mail blast lists, and for other purposes. The price of the voter file is contingent upon the total number of voters in the file (see *Application for Voter Registration Information for price range*).

Mailing Labels

Mailing labels are formatted to print on Avery 5160 templates. They are useful for sending political mail, and can be used by candidates, measure proponents/opponents, committees, etc. The labels can be pre-printed and ready to place on campaign materials or can be purchased as a .PDF file for printing at home. The mailing label report can be generated one per voter, one per household, or one per household and last name.

One per Voter

Labels are personally addressed to each voter. This targets voters directly and feels more personal.

One per Household

Each label is addressed to all voters in the household, it reads: "All Voters At:" Generating this report minimizes costs. Sending out fewer mailers minimizes both printing and mailing costs.

One per Household & Last Name

Labels are addressed to a particular surname. They are more cost effective than mailing out a card to each voter, but more personal than addressing one per household.

Voter Reports

Voter List

Voter lists are similar to the Multipurpose Voter File in content but are created as a .pdf document and cannot be manipulated and used for various different promotions. Voter lists can be generated using any of the following modifiers: district, party preference, mail ballot status, and/or high propensity voters. The list includes: voter's ID, precinct, vote by mail status, name, address, phone number, registration date, and party preference.

Walking List

Walking lists contain lists of registered voters and their addresses arranged by precinct. This list can be modified by using the following criteria: district, party preference, mail ballot status, and/or high propensity voters. The list includes: address, name, phone number, party preference. They are helpful when walking precincts to contact voters.

Recurring Vote by Mail File

Recurring Vote by Mail Files list all mail ballot voters and the status of each ballot; including request date, sent date and ballot status. The format is the same as the multipurpose voter file. This list is helpful in reaching out to mail ballot voters, especially those who recently requested one.

Options for Ordering

For your convenience, the San Bernardino County Elections Office offers a variety of options to place an order. Orders can be placed in person, via email, postal mail, or by fax. Forms to order products can be found on our website at www.sbcountyelections.com. Generally we process requests in the order they are received and there is a turnaround time of approximately 3-5 business days. To purchase products and services:

1. Complete the appropriate form(s)

- To purchase voter files, the “Application for Voter Registration Information” is required.
- To purchase reports and maps, the Automated Report and Map Request Form is required.
- Valid picture identification must accompany the “Application for Voter Registration Information” form.

2. Return the completed form(s) to:

- By mail - **Address:**
County of San Bernardino Elections Office
of the Registrar of Voters
777 East Rialto Avenue
San Bernardino, CA 92415-0770
- By email communications@sbcountyelections.com
- By fax 909-387-2022

Payment Options

The Elections Office accepts cash, check, and all major credit cards as acceptable forms of payments. Advance payment is required for all orders and can be submitted in person, by mail (see address above) as well as by phone for credit card payments.

REGISTRAR OF VOTERS SERVICES

The Registrar of Voters offers a wide range of products and services for candidates and the general public. These services include providing public access terminals, and selling voter and precinct information, including certifications, reports, and maps. The following section provides details regarding how to take advantage of the products and services offered by the Registrar of Voters.

A. Public Viewing Terminals

The voter registration database may be viewed from a public terminal in the lobby area of the San Bernardino County Registrar of Voters. The public viewing terminal is available during normal business hours, Monday through Friday, 8 a.m. to 5 p.m. The public terminal screen does not reveal confidential voter registration information. Confidential information includes items such as: residential street address, telephone number, precinct number, occupation, driver's license number, and the last four digits of a social security number.

B. Voter and Precinct Information

Voter information and maps are available for purchase at the San Bernardino County Registrar of Voters. A valid picture ID is required to purchase voter information. If candidates are unable to visit in person, contact the San Bernardino County Registrar of Voters at (909) 387-8300 for instructions on how to purchase files. Payment must be made for all orders in advance. The Registrar of Voters will inform the requestor when the order is ready for pickup. Orders are processed in the order they are received. Generally, there is a turnaround time of approximately three business days.

The Registrar of Voters provides a multitude of options for purchasing voter and precinct information including reports, maps, and voter files. The list below provides an overview of services offered by the Registrar of Voters:

1. Voter Registration Information

An Application for Voter Registration Information including an explanation of the intended use for this information and a valid picture ID is required to purchase voter information. The permissible and prohibited uses of this information are outlined in section C below. The following products may be purchased:

- Multi-Purpose Voter Text File - Information provided includes voter name, date of birth, residence address, mailing address, party affiliation, registration date, phone number, e-mail address (if provided), precinct information, voting history, and if the voter votes by mail.
- Custom Precinct File - File generated by precinct level versus by entire district. Information provided is the same as the Multi-Purpose Voter File listed above.
- Voter List - Information provided includes voter name, residence address, party affiliation, phone number (if provided), precinct information, voting history, and if the voter votes by mail.

- Walking List
 - List of voters printed out in the order needed to canvas a precinct.
 - Information provided includes voter name, residence address, party affiliation, phone number, and if the voter votes by mail.
 - Lists may be provided in various sort orders including alphabetical order, by street name, or by house number.
- Mailing labels
 - Information provided includes assigned precinct, voter name, mailing address, and residence address.
 - Labels may be printed in various sort orders based on the information provided.
- Voter Registration Searches
- Letter of Verification of Voter Registration

2. Maps and automated reports

A Reports & Map Request Form is required to purchase reports and maps. The products offered are:

Reports

- Statement of Votes Cast Report – Information provided includes number of votes cast by broken down by precinct, number of registered voters in a particular precinct, voter turnout percentages, etc. This report is free of charge and can be found on the Election page of the Registrar of Voters website after the canvass has been completed.
- Precinct list – Information provided includes a list of precincts within a single or multiple jurisdiction(s)
- Polling place list – Information provided is a list of polling places for an election. It can be generated for the entire county or for a specific district according to the needs of the purchaser
- Customized reports – Information provided is specific to the customer's request.

Maps

- Paper Maps – The Registrar of Voters offer printed paper maps for purchase. The sizes are 11" X 17"; and 34" X 44". The size of the map purchased will determine the level of detail you will see. For larger districts, it may require multiple sheets in order to provide the best street and precinct level of details.
- Electronic maps – Maps be generated in electronic format and generally comes as in pdf format. In the electronic format, it allows the purchaser the ability to enlarge the file for easy viewing or to print in great or lesser detail.
- GIS Exports – Commonly known as Shape files, and may be layered over an existing mapping program (i.e. ESRI, etc.).

- Custom map - Information provided is specific to the customer's request. The layers we offer for our maps are:
 - District boundaries
 - Precinct boundaries
 - Some street level details
 - County of San Bernardino and political boundaries (i.e. Congressional, State Senate, etc.)

3. Recurring vote by mail file

An Application for Pre-Election Recurring Vote by Mail File is required to purchase information regarding the issuance or return of a mail ballot. These reports provides voter data and includes information on the status of the mail ballot including when the voter was issued or returned his or her ballot. When ordering please specify if you want information on when new ballots are issued or when ballots are returned or prefer both. The following files can be purchased:

- Countywide Pre-Election Recurring Vote by Mail File – List of all voters within San Bernardino County who have been issued or returned a mail ballot for a specific election.
- Customized Pre-Election Recurring Vote by Mail File - Election specific information for mail ballot voters in a particular jurisdiction who have been issued or returned a mail ballot.

To learn more about the services listed above or other Registrar of Voters services, including the current fee schedule for these services, please contact the office by phone at (909)387-8300, or by email at communications@sbcountyelections.com.

C. Restrictions on the use of voter information

Per confidentiality laws of 1995, voter information is confidential. However, there are specific permissible exceptions to the law. The California Code of Regulations, Title 2, Division 7, Chapter 1, Article 1, Sections 19003, 19004, & 19005 specifies permissible uses for any data obtained from voter registration files. Permissible usage includes direct election campaigning, surveys in conjunction with an election campaign, and distribution of information of a political nature. Data obtained from voter registration or election files may not be sold, leased, loaned, reproduced, or possession thereof relinquished without receiving written authorization to do so from the Secretary of State or the Registrar of Voters. Prohibited usage includes commercial purposes and solicitations of contributions or services for any purpose other than on behalf of a candidate or political party, or in support of or opposition to a ballot measure.



Registrar of Voters

Reports, Maps and Services Price List

Product Description	Fee	Comments
ELECTION SERVICES		
Fee to conduct an election	\$ -	Actual cost plus overhead
Fee for a printed candidate statement in a Voter Information Guide	\$ -	Actual cost plus overhead
Fee to conduct a recount	\$ -	Actual cost without overhead
Filing fee for county initiative petitions	\$ 200.00	Refundable if certified sufficient within one year (Elections Code §9103)
Signature Verification and certification of petitions	\$ -	Actual cost plus overhead
COMPUTER GENERATED MAPS		
Setup fee	\$ 43.33	Each
11" x 17" Printed paper map	\$ 0.16	Each plus setup
34" x 44" Plotted paper map	\$ 21.37	Each plus setup
Compact Disc	\$ 5.00	CD plus setup
Electronic maps or GIS exports	\$ -	Setup fee
Customized map	\$ 114.84	Per hour
CUSTOM REPORTS		
Automated Reports/Indexes		
Setup fee	\$ 40.95	Each
Hard Copy	\$ 0.10	Per page plus setup
Compact Disc	\$ 7.40	Per CD plus setup
Labels (Avery 5160)	\$ 12.80	Per thousand plus setup fee
Certification of document copies of voter affidavit	\$ 1.50	Each (Elections Code §2167)
Uncertified copies of campaign statements		(Government Code §81008)
Photo copies	\$ 0.10	Per page
Retrieval fee if 5 years or older	\$ 5.00	Each per request
VOTER INFORMATION FILE ON ELECTRONIC MEDIA		
Up to 80,000 voters	\$ 35.00	Each
80,001 to 250,000 voters	\$ 77.00	Each
250,001 + voters	\$ 83.00	Each
Custom Precinct File	\$ 73.00	Each
Customized Report	\$ 167.32	Per hour
RECURRING VOTE BY MAIL FILE		
Countywide Pre-Election Recurring Vote by Mail File	\$ 101.00	Per election cycle
Customized Pre-Election Vote by Mail File	\$ 30.51	Per file



Registrar of Voters

Reports, Maps and Services Price List

Product Description	Fee	Comments
POLLING PLACE EQUIPMENT RENTAL		
Ballot Boxes	\$ 5.46	Each
Ballot Marking Device	\$ 13.62	Each
Central Scanning	\$ 550.55	Each
Chairs	\$ 3.00	Each
Election Management Software/Hardware	\$ 1,074.18	Each
Electronic Poll Books	\$ 18.84	Each
Mobile Ballot Printer	\$ 106.58	Each
Mobile Ballot Printer Consumables	\$ -	Actual cost
Polling Place Supply Bag	\$ 21.00	Each
Tables	\$ 11.00	Each
Traffic Cones (Standard)	\$ 4.00	Each
Voting Booth (ADA)	\$ 72.36	Each
Voting Booth (Standard)	\$ 17.80	Each
OTHER SERVICES		
Postage/Handling	\$ -	Actual cost
Research Services	\$ -	Actual cost plus overhead
Return Check Fee	\$ 25.00	Each

ALL PRICES ARE SUBJECT TO CHANGE

Information and prices gathered from: §16.0224 of the San Bernardino County Code (Effective July 1, 2020)



Registrar of Voters

Automated Report and Map Request Form

1. Personal information

Name: _____
Last Name First Name Middle Initial

Mailing Address: _____
Street City State Zip Code

Phone Number: _____ E-Mail Address: _____

2. Automated Report / Map Requested

Reports and maps can be generated for the entire county, a specific district, precinct or election. Specify below:

District/Precinct: _____ Election: _____

A. Automated Reports

- Precinct list: _____ 10¢/pg or \$7.40/CD + \$40.95 set up fee
- Polling place list: _____ 10¢/pg or \$7.40/CD + \$40.95 set up fee
- Street details: _____ 10¢/pg or \$7.40/CD + \$40.95 set up fee
- District voter count: _____ 10¢/pg or \$7.40/CD + \$40.95 set up fee
- Precincts within districts: _____ 10¢/pg or \$7.40/CD + \$40.95 set up fee
- Customized Report: _____ \$167.32 per hour

B. Computer Generated Maps

- Setup Fee: _____ \$ 43.33 each
- 11" X 17" paper map: _____ \$ 0.16 each plus setup
- 34" X 44" paper map: _____ \$ 21.37 each plus setup
- Electronic maps or GIS exports: _____ \$ 43.33 each
- Compact Disc: _____ \$ 5.00 each
- Customized map: _____ \$114.84 per hour

3. Payment information

Payment must be made prior to delivery of services. Orders may be completed within 3 to 5 days.

Total amount due \$ _____

Payment type: Cash Check number: _____

Credit card number: _____ Expiration date: _____

4. Signature

Signature: _____ Date: _____



Registrar of Voters

Application for Voter Registration Information

1. Personal information

Name: _____
Last Name *First Name* *Middle Initial*

Driver's License or ID: _____
Number *State* *(Verified by)*

Residence Address: _____

Business Address: _____

Phone Number: _____
Personal *Business*

2. If this request is on behalf of another person or organization, complete this section

Organization: _____

Mailing Address: _____

Person Authorizing Request: _____ Phone Number: _____

3. Statement of Intended Use

Intended Use of Information Requested: _____

I certify, under penalty of perjury, that the information provided in this application is true and correct. I further agree that the information obtained:

- Shall be used for election, political, scholarly, journalistic or governmental purposes only.
- Shall not be used for any personal, private, or commercial purposes.
- Shall not be sold, leased, or loaned to any other person without written authorization from the Elections Office.
- Shall not be sent or made available in any way to persons outside of the United States, including, but not limited to, access over the internet.

Any person who knowingly discloses, uses, or permits the use of all or any part of this information for any purpose other than as permitted by law is guilty of a misdemeanor, or potentially a felony, and may be subject to fines, imprisonment, or both.

Signature: _____

Date: _____ City where signed: _____

4. Voter Registration Information Products

A. Select product

Multi-Purpose Voter File

- Voter information contained in this file: *Name, residence address, mailing address, party preference, date of birth, registration date, mail ballot status, phone number/email address (if provided), precinct number, precinct name*
 - TXT File Options - *flat file*, *tab delimited*, or *comma delimited*
- Price - Up to 80,000 voters - \$35; 80,001 to 250,000 voters -\$77; Over 250,000 voters -\$83

Custom Precinct File

- File generated by precinct level information versus by entire districts. Data contained in this file is the same as the Multi-Purpose Voter file
 - TXT File Options - *flat file*, *tab delimited*, or *comma delimited*
- Price - \$73

Voter List

- Voter information contained in this file: *Name, residence address, party preference, mail ballot status, registration date, precinct number, phone number (if provided)*
 - File provided as a pdf document
- Price - \$40.95 set up fee + 10 cents per page for hard copy of report or \$7.40/CD

Walking list

- Voter information contained in this file: *Name, residence address, party preference, mail ballot status*
- Price - \$40.95 set up fee + 10 cents per page for hard copy of report or \$7.40/CD

Mailing labels

- Options: One label per voter one per household
 Pre-printed on labels pdf file for printing at a later time
- Price
- Avery Labels 5160 at \$40.95 set up fee + \$12.80/1000
 - CD ROM (PDF format) \$40.95 set up fee + \$7.40/CD

Certification of Voter Registration - \$1.50 each

Letter of Verification of Voter Registration - \$1.50 each

Customized Report - \$167.32/hour

B. Select preferred method to receive file

- CD-ROM FTP Address _____ E-Mail Address _____

C. Select from the following option(s) to customize report

- Entire San Bernardino County
- Permanent Mail Ballot voters only
- Voters only in these districts/precincts _____
- Voters only for these political parties _____
- Only voters who voted _____ times in these elections _____
- Only voters who voted in these elections _____
- Last 20 elections of voting history (not available for voter list or walking list)
- Voting history for this election(s) (not available for voter list or walking list) _____

5. Payment information

Payment must be made prior to delivery of services. All requests to be completed within 3-5 business days.

Total amount due \$ _____ Payment type: Cash Check number: _____

Credit card # _____ Expiration date _____

CODE REFERENCES

Government Code § 6254.4

- (a) The home address, telephone number, email address, precinct number, or other number specified by the Secretary of State for voter registration purposes, and prior registration information shown on the affidavit of registration, is confidential and shall not be disclosed to any person, except pursuant to Section 2194 of the Elections Code.
- (b) For purposes of this section, "home address" means street address only, and does not include an individual's city or post office address.
- (c) The California driver's license number, the California identification card number, the social security number, and any other unique identifier used by the State of California for purposes of voter identification shown on an affidavit of registration, or added to the voter registration records to comply with the requirements of the federal Help America Vote Act of 2002 (42 U.S.C. Sec. 15301 et seq.), are confidential and shall not be disclosed to any person.
- (d) The signature of the voter that is shown on the affidavit of registration is confidential and shall not be disclosed to any person.

Elections Code § 2188

- (a) Any application for voter registration information available pursuant to law and maintained by the Secretary of State or by the elections official of any county shall be made pursuant to this section.
- (b) The application shall set forth all of the following:
- (1) The printed or typed name of the applicant in full.
 - (2) The complete residence address and complete business address of the applicant, giving street and number. If no street or number exists, a postal mailing address as well as an adequate designation sufficient to readily ascertain the location.
 - (3) The telephone number of the applicant, if one exists.
 - (4) The number of the applicant's driver's license, state identification card, or other identification approved by the Secretary of State if the applicant does not have a driver's license or state identification card.
 - (5) The specific information requested.
 - (6) A statement of the intended use of the information requested.
- (c) If the application is on behalf of a person other than the applicant, the applicant shall, in addition to the information required by subdivision (b), set forth all of the following:
- (1) The name of the person, organization, company, committee, association, or group requesting the voter registration information, including their complete mailing address and telephone number.
 - (2) The name of the person authorizing or requesting the applicant to obtain the voter registration information.
- (d) The elections official shall request the applicant to display his or her identification for purposes of verifying that identifying numbers of the identification document match those written by the applicant on the application form.
- (e) The applicant shall certify to the truth and correctness of the content of the application, under penalty of perjury, with the signature of his or her name at length, including given name, middle name or initial, or initial and middle name. The applicant shall state the date and place of execution of the declaration.
- (f) Completed applications for voter registration information shall be retained by the elections official for five years from the date of application.
- (g) This section shall not apply to requests for information by elections officials for election purposes or by other public agencies for governmental purposes.
- (h) The Secretary of State may prescribe additional information to be included in the application for voter registration information.
- (i) A county may not provide information for any political subdivision that is not wholly or partially contained within that county.

Elections Code § 2188.2

- (a) The Secretary of State shall adopt regulations that describe the best practices for storage and security of voter registration information received by an applicant pursuant to Section 2188.
- (b) The Secretary of State may require an applicant to take a training course regarding data security as a condition for the receipt of voter registration information if that course is made available to the applicant at no cost to the applicant.

Elections Code § 2188.3

A person or entity who has received voter registration information pursuant to an application made under Section 2188 shall, following discovery or notification of a breach in the security of the storage of the information, disclose the breach in security to the Secretary of State. The disclosure shall be made in the most expedient time possible and without unreasonable delay.

Elections Code § 2188.5

- (a) A person who requests voter information pursuant to Section 2188 or who obtains signatures or other information collected for an initiative, referendum, political party qualification, or recall petition shall not send that information outside of the United States or make it available in any way electronically to persons outside the United States, including, but not limited to, access over the internet.
- (b) For purposes of this section, "United States" includes each of the several states of the United States, the District of Columbia, and the territories and possessions of the United States.

Elections Code § 2194

- (a) Except as provided in Section 2194.1, the affidavit of voter registration information identified in Section 6254.4 of the Government Code:
- (1) Shall be confidential and shall not appear on any computer terminal, list, affidavit, duplicate affidavit, or other medium routinely available to the public at the county elections official's office.
 - (2) Shall not be used for any personal, private, or commercial purpose, including, but not limited to:
 - (A) The harassment of any voter or voter's household.
 - (B) The advertising, solicitation, sale, or marketing of products or services to any voter or voter's household.
 - (C) Reproduction in print, broadcast visual or audio, or display on the internet or any computer terminal unless pursuant to paragraph (3).
 - (3) Shall be provided with respect to any voter, subject to the provisions of Sections 2166, 2166.5, 2166.7, and 2188, to any candidate for federal, state, or local office, to any committee for or against any initiative or referendum measure for which legal publication is made, and to any person for election, scholarly, journalistic, or political purposes, or for governmental purposes, as determined by the Secretary of State.
 - (4) May be used by the Secretary of State for the purpose of educating voters pursuant to Section 12173 of the Government Code.
- (b) (1) Notwithstanding any other law, the California driver's license number, the California identification card number, the social security number, and any other unique identifier used by the State of California for purposes of voter identification shown on the affidavit of voter registration of a registered voter, or added to voter registration records to comply with the requirements of the federal Help America Vote Act of 2002 (52 U.S.C. Sec. 20901 et seq.), are confidential and shall not be disclosed to any person.
- (2) Notwithstanding any other law, the signature of the voter shown on the affidavit of voter registration or an image thereof is confidential and shall not be disclosed to any person, except as provided in subdivision (c).

(c) (1) The home address or signature of any voter shall be released whenever the person's vote is challenged pursuant to Sections 15105 to 15108, inclusive, or Article 3 (commencing with Section 14240) of Chapter 3 of Division 14. The address or signature shall be released only to the challenger, to elections officials, and to other persons as necessary to make, defend against, or adjudicate the challenge.

(2) An elections official shall permit a person to view the signature of a voter for the purpose of determining whether the signature matches a signature on an affidavit of registration or an image thereof or a petition, but shall not permit a signature to be copied.

(d) A governmental entity, or officer or employee thereof, shall not be held civilly liable as a result of disclosure of the information referred to in this section, unless by a showing of gross negligence or willfulness.

(e) For the purposes of this section, "voter's household" is defined as the voter's place of residence or mailing address or any persons who reside at the place of residence or use the mailing address as supplied on the affidavit of registration pursuant to paragraphs (3) and (4) of subdivision (a) of Section 2150.

(f) Notwithstanding any other law, information regarding voters who did not sign a vote by mail ballot identification envelope or whose signature on the vote by mail ballot identification envelope did not match the voter's signature on file shall be treated as confidential voter registration information pursuant to this section and Section 6254.4 of Government Code. This information shall not be disclosed to any person except as provided in this section. Any disclosure of this information shall be accompanied by a notice to the recipient regarding Sections 18109 and 18540. Voter information provided pursuant to this subdivision shall be updated daily, include the name of voter, and be provided in a searchable electronic format.

Elections Code § 18109

(a) It is a misdemeanor for a person in possession of information identified in Section 2138.5, or obtained pursuant to Article 5 (commencing with Section 2183) of Chapter 2 of Division 2 of this code or Section 6254.4 of the Government Code, knowingly to use or permit the use of all or any part of that information for any purpose other than as permitted by law.

(b) It is a misdemeanor for a person knowingly to acquire possession or use of voter registration information from the Secretary of State or a county elections official without first complying with Section 2188.

Elections Code § 18110

(a) For purposes of this section, "home address" means only street address and does not include an individual's city or post office address.

(b) Any person or public entity who, in violation of Section 2194, discloses the home address or telephone number listed on a voter registration card of any of the following individuals is guilty of a misdemeanor:

(1) An active or retired peace officer, as defined in Chapter 4.5 (commencing with Section 830) of Title 3 of Part 2 of the Penal Code.

(2) An employee of a city police department or a county sheriff's office.

(3) The spouse or children of the individuals specified in paragraphs (1) and (2) who live with those individuals.

(c) Any person or public entity, who in violation of Section 2194, discloses the home address or telephone number listed on a voter registration card of any individual specified in paragraph (1), (2), or (3) of subdivision (b), and that violation results in bodily injury to any of those individuals, is guilty of a felony.

Election Code § 18540

(a) Every person who makes use of or threatens to make use of any force, violence, or tactic of coercion or intimidation, to induce or compel any other person to vote or refrain from voting at any election or to vote or refrain from voting for any particular person or measure at any election, or because any person voted or refrained from voting at any election or voted or refrained from voting for any particular person or measure at any election is guilty of a felony punishable by imprisonment pursuant to subdivision (h) of Section 1170 of the Penal Code for 16 months or two or three years.

(b) Every person who hires or arranges for any other person to make use of or threaten to make use of any force, violence, or tactic of coercion or intimidation, to induce or compel any other person to vote or refrain from voting at any election or to vote or refrain from voting for any particular person or measure at any election, or because any person voted or refrained from voting at any election or voted or refrained from voting for any particular person or measure at any election is guilty of a felony punishable by imprisonment pursuant to subdivision (h) of Section 1170 of the Penal Code for 16 months or two or three years.

California Code of Regulations § 19002

Registration information obtained by any person from a source agency shall be used solely for election and governmental purposes.

California Code of Regulations § 19003

Permissible uses of information obtained from a source agency shall include, but shall not be limited to, the following:

(a) Using registration information for purposes of communicating with voters in connection with any election.

(b) Sending communications, including but not limited to, mailings which campaign for or against any candidate or ballot measure in any election.

(c) Sending communications, including but not limited to, mailings by or in behalf of any political party; provided however, that the content of such communications shall be devoted to news and opinions of candidates, elections, political party developments and related matters.

(d) Sending communications, including but not limited to, mailings, incidental to the circulation or support of, or opposition to any recall, initiative, or referendum petition.

(e) Sending of newsletters or bulletins by any elected public official, political party or candidate for public office.

(f) Conducting any survey of voters in connection with any election campaign.

(g) Conducting any survey of opinions of voters by any government agency, political party, elected official or political candidate for election or governmental purposes.

(h) Conducting an audit of voter registration lists for the purpose of detecting voter registration fraud.

(i) Soliciting contributions or services as part of any election campaign on behalf of any candidate for public office or any political party or in support of or opposition to any ballot measure.

(j) Any official use by any local, state, or federal governmental agency.

California Code of Regulations § 19004

The following uses of registration information obtained from a source agency shall be deemed other than for election and governmental purposes:

(a) Any communication or other use solely or partially for any commercial purpose.

(b) Solicitation of contributions or services for any purpose other than on behalf of a candidate or political party or in support of or opposition to a ballot measure.

(c) Conducting any survey of opinions of voters other than those permitted by Sections 19003(f) and (g).

California Code of Regulations § 19005

No person who obtains registration information from a source agency shall make any such information available under any terms, in any format, or for any purpose, to any person without receiving prior written authorization from the source agency. The source agency shall issue such authorization only after the person to receive such information has executed the written agreement set forth in Section 19008.



Registrar of Voters

Application for Pre-Election Recurring Vote By Mail File

1. Personal information

Name: _____
Last Name *First Name* *Middle Initial*

Driver's License or ID: _____
Number *State* *(Verified by)*

Residence Address: _____

Business Address: _____

Phone Number: _____
Personal *Business*

2. If this request is on behalf of another person or organization, complete this section

Organization: _____

Mailing Address: _____

Person Authorizing Request: _____ Phone Number: _____

3. Statement of Intended Use

Intended Use of Information Requested: _____

I certify, under penalty of perjury, that the information provided in this application is true and correct. I further agree that the information obtained:

- Shall be used for election, political, scholarly, journalistic or governmental purposes only.
- Shall not be used for any personal, private, or commercial purposes.
- Shall not be sold, leased, or loaned to any other person without written authorization from the Elections Office.
- Shall not be sent or made available in any way to persons outside of the United States, including, but not limited to, access over the internet.

Any person who knowingly discloses, uses, or permits the use of all or any part of this information for any purpose other than as permitted by law is guilty of a misdemeanor, or potentially a felony, and may be subject to fines, imprisonment, or both.

Signature: _____

Date: _____ City where signed: _____

4. Recurring Vote by Mail Request Form

A. Select product

Countywide Pre-Election Recurring Vote by Mail File:

A list of mail ballot voters in San Bernardino County who have been issued or returned a mail ballot for a specific election.

- o Price: \$ 101.00 (all files created for the entire election cycle)

Customized Pre-Election Recurring Vote by Mail File:

A list of mail ballot voters in a particular jurisdiction who have been issued or returned a mail ballot for a specific election.

- o Price: \$ 30.51 (each file created for the election cycle)

District/Jurisdiction Requesting

B. Select preferred method to receive file

- CD E-Mail Address _____ FTP Address _____

C. Select report type

- VBM returns only VBM issued only VBM All (issued & returns)

		OFFICIAL USE ONLY		
Starting Date*	Ending Date	Voter Count	Cost	Balance
* Starting Date can be no sooner than <u>29 days before</u> the election.			+/- Residual Amount	

Date _____

Purchaser's Signature _____

Order received by (Print) _____

5. Payment information

Payment must be made prior to delivery of services. *Pre-Election Recurring Vote by Mail Files* are generated after ballots have been processed each day.

Total amount due \$ _____ Payment type: Cash Check number: _____

Credit card # _____ Expiration date _____

CODE REFERENCES

Government Code § 6254.4

- (a) The home address, telephone number, email address, precinct number, or other number specified by the Secretary of State for voter registration purposes, and prior registration information shown on the affidavit of registration, is confidential and shall not be disclosed to any person, except pursuant to Section 2194 of the Elections Code.
- (b) For purposes of this section, "home address" means street address only, and does not include an individual's city or post office address.
- (c) The California driver's license number, the California identification card number, the social security number, and any other unique identifier used by the State of California for purposes of voter identification shown on an affidavit of registration, or added to the voter registration records to comply with the requirements of the federal Help America Vote Act of 2002 (42 U.S.C. Sec. 15301 et seq.), are confidential and shall not be disclosed to any person.
- (d) The signature of the voter that is shown on the affidavit of registration is confidential and shall not be disclosed to any person.

Elections Code § 2188

- (a) Any application for voter registration information available pursuant to law and maintained by the Secretary of State or by the elections official of any county shall be made pursuant to this section.
- (b) The application shall set forth all of the following:
- (1) The printed or typed name of the applicant in full.
 - (2) The complete residence address and complete business address of the applicant, giving street and number. If no street or number exists, a postal mailing address as well as an adequate designation sufficient to readily ascertain the location.
 - (3) The telephone number of the applicant, if one exists.
 - (4) The number of the applicant's driver's license, state identification card, or other identification approved by the Secretary of State if the applicant does not have a driver's license or state identification card.
 - (5) The specific information requested.
 - (6) A statement of the intended use of the information requested.
- (c) If the application is on behalf of a person other than the applicant, the applicant shall, in addition to the information required by subdivision (b), set forth all of the following:
- (1) The name of the person, organization, company, committee, association, or group requesting the voter registration information, including their complete mailing address and telephone number.
 - (2) The name of the person authorizing or requesting the applicant to obtain the voter registration information.
- (d) The elections official shall request the applicant to display his or her identification for purposes of verifying that identifying numbers of the identification document match those written by the applicant on the application form.
- (e) The applicant shall certify to the truth and correctness of the content of the application, under penalty of perjury, with the signature of his or her name at length, including given name, middle name or initial, or initial and middle name. The applicant shall state the date and place of execution of the declaration.
- (f) Completed applications for voter registration information shall be retained by the elections official for five years from the date of application.
- (g) This section shall not apply to requests for information by elections officials for election purposes or by other public agencies for governmental purposes.
- (h) The Secretary of State may prescribe additional information to be included in the application for voter registration information.
- (i) A county may not provide information for any political subdivision that is not wholly or partially contained within that county.

Elections Code § 2188.2

- (a) The Secretary of State shall adopt regulations that describe the best practices for storage and security of voter registration information received by an applicant pursuant to Section 2188.
- (b) The Secretary of State may require an applicant to take a training course regarding data security as a condition for the receipt of voter registration information if that course is made available to the applicant at no cost to the applicant.

Elections Code § 2188.3

A person or entity who has received voter registration information pursuant to an application made under Section 2188 shall, following discovery or notification of a breach in the security of the storage of the information, disclose the breach in security to the Secretary of State. The disclosure shall be made in the most expedient time possible and without unreasonable delay.

Elections Code § 2188.5

- (a) A person who requests voter information pursuant to Section 2188 or who obtains signatures or other information collected for an initiative, referendum, or recall petition shall not send that information outside of the United States or make it available in any way electronically to persons outside the United States, including, but not limited to, access over the internet.
- (b) For purposes of this section, "United States" includes each of the several states of the United States, the District of Columbia, and the territories and possessions of the United States.

Elections Code § 2194

- (a) Except as provided in Section 2194.1, the affidavit of voter registration information identified in Section 6254.4 of the Government Code:
- (1) Shall be confidential and shall not appear on any computer terminal, list, affidavit, duplicate affidavit, or other medium routinely available to the public at the county elections official's office.
 - (2) Shall not be used for any personal, private, or commercial purpose, including, but not limited to:
 - (A) The harassment of any voter or voter's household.
 - (B) The advertising, solicitation, sale, or marketing of products or services to any voter or voter's household.
 - (C) Reproduction in print, broadcast visual or audio, or display on the internet or any computer terminal unless pursuant to paragraph (3).
 - (3) Shall be provided with respect to any voter, subject to the provisions of Sections 2166, 2166.5, 2166.7, and 2188, to any candidate for federal, state, or local office, to any committee for or against any initiative or referendum measure for which legal publication is made, and to any person for election, scholarly, journalistic, or political purposes, or for governmental purposes, as determined by the Secretary of State.
 - (4) May be used by the Secretary of State for the purpose of educating voters pursuant to Section 12173 of the Government Code.
- (b) (1) Notwithstanding any other law, the California driver's license number, the California identification card number, the social security number, and any other unique identifier used by the State of California for purposes of voter identification shown on the affidavit of voter registration of a registered voter, or added to voter registration records to comply with the requirements of the federal Help America Vote Act of 2002 (52 U.S.C. Sec. 20901 et seq.), are confidential and shall not be disclosed to any person.

- (2) Notwithstanding any other law, the signature of the voter shown on the affidavit of voter registration is confidential and shall not be disclosed to any person, except as provided in subdivision (c).
- (c) (1) The home address or signature of any voter shall be released whenever the person's vote is challenged pursuant to Sections 15105 to 15108, inclusive, or Article 3 (commencing with Section 14240) of Chapter 3 of Division 14. The address or signature shall be released only to the challenger, to elections officials, and to other persons as necessary to make, defend against, or adjudicate the challenge.
- (2) An elections official shall permit a person to view the signature of a voter for the purpose of determining whether the signature matches a signature on an affidavit of registration or an image thereof or a petition, but shall not permit a signature to be copied.
- (d) A governmental entity, or officer or employee thereof, shall not be held civilly liable as a result of disclosure of the information referred to in this section, unless by a showing of gross negligence or willfulness.
- (e) For the purposes of this section, "voter's household" is defined as the voter's place of residence or mailing address or any persons who reside at the place of residence or use the mailing address as supplied on the affidavit of registration pursuant to paragraphs (3) and (4) of subdivision (a) of Section 2150.
- (f) Notwithstanding any other law, information regarding voters who did not sign a vote by mail ballot identification envelope or whose signature on the vote by mail ballot identification envelope did not match the voter's signature on file shall be treated as confidential voter registration information pursuant to this section and Section 6254.4 of Government Code. This information shall not be disclosed to any person except as provided in this section. Any disclosure of this information shall be accompanied by a notice to the recipient regarding Sections 18109 and 18540. Voter information provided pursuant to this subdivision shall be updated daily, include the name of voter, and be provided in a searchable electronic format.

Elections Code § 18109

- (a) It is a misdemeanor for a person in possession of information identified in Section 2138.5, or obtained pursuant to Article 5 (commencing with Section 2183) of Chapter 2 of Division 2 of this code or Section 6254.4 of the Government Code, knowingly to use or permit the use of all or any part of that information for any purpose other than as permitted by law.
- (b) It is a misdemeanor for a person knowingly to acquire possession or use of voter registration information from the Secretary of State or a county elections official without first complying with Section 2188.

Elections Code § 18110

- (a) For purposes of this section, "home address" means only street address and does not include an individual's city or post office address.
- (b) Any person or public entity who, in violation of Section 2194, discloses the home address or telephone number listed on a voter registration card of any of the following individuals is guilty of a misdemeanor:
- (1) An active or retired peace officer, as defined in Chapter 4.5 (commencing with Section 830) of Title 3 of Part 2 of the Penal Code.
 - (2) An employee of a city police department or a county sheriff's office.
 - (3) The spouse or children of the individuals specified in paragraphs (1) and (2) who live with those individuals.
- (c) Any person or public entity, who in violation of Section 2194, discloses the home address or telephone number listed on a voter registration card of any individual specified in paragraph (1), (2), or (3) of subdivision (b), and that violation results in bodily injury to any of those individuals, is guilty of a felony.

Election Code § 18540

- (a) Every person who makes use of or threatens to make use of any force, violence, or tactic of coercion or intimidation, to induce or compel any other person to vote or refrain from voting at any election or to vote or refrain from voting for any particular person or measure at any election, or because any person voted or refrained from voting at any election or voted or refrained from voting for any particular person or measure at any election is guilty of a felony punishable by imprisonment pursuant to subdivision (h) of Section 1170 of the Penal Code for 16 months or two or three years.
- (b) Every person who hires or arranges for any other person to make use of or threaten to make use of any force, violence, or tactic of coercion or intimidation, to induce or compel any other person to vote or refrain from voting at any election or to vote or refrain from voting for any particular person or measure at any election, or because any person voted or refrained from voting at any election or voted or refrained from voting for any particular person or measure at any election is guilty of a felony punishable by imprisonment pursuant to subdivision (h) of Section 1170 of the Penal Code for 16 months or two or three years.

California Code of Regulations § 19002

Registration information obtained by any person from a source agency shall be used solely for election and governmental purposes.

California Code of Regulations § 19003

Permissible uses of information obtained from a source agency shall include, but shall not be limited to, the following:

- (a) Using registration information for purposes of communicating with voters in connection with any election.
- (b) Sending communications, including but not limited to, mailings which campaign for or against any candidate or ballot measure in any election.
- (c) Sending communications, including but not limited to, mailings by or in behalf of any political party; provided however, that the content of such communications shall be devoted to news and opinions of candidates, elections, political party developments and related matters.
- (d) Sending communications, including but not limited to, mailings, incidental to the circulation or support of, or opposition to any recall, initiative, or referendum petition.
- (e) Sending of newsletters or bulletins by any elected public official, political party or candidate for public office.
- (f) Conducting any survey of voters in connection with any election campaign.
- (g) Conducting any survey of opinions of voters by any government agency, political party, elected official or political candidate for election or governmental purposes.
- (h) Conducting an audit of voter registration lists for the purpose of detecting voter registration fraud.
- (i) Soliciting contributions or services as part of any election campaign on behalf of any candidate for public office or any political party or in support of or opposition to any ballot measure.
- (j) Any official use by any local, state, or federal governmental agency.

California Code of Regulations § 19004

The following uses of registration information obtained from a source agency shall be deemed other than for election and governmental purposes:

- (a) Any communication or other use solely or partially for any commercial purpose.
- (b) Solicitation of contributions or services for any purpose other than on behalf of a candidate or political party or in support of or opposition to a ballot measure.
- (c) Conducting any survey of opinions of voters other than those permitted by Sections 19003(f) and (g).

California Code of Regulations § 19005

No person who obtains registration information from a source agency shall make any such information available under any terms, in any format, or for any purpose, to any person without receiving prior written authorization from the source agency. The source agency shall issue such authorization only after the person to receive such information has executed the written agreement set forth in Section 19008.

CITY OF MONTCLAIR
SCHEDULE FOR FILING OF CAMPAIGN STATEMENTS
IN RELATION TO THE NOVEMBER 3, 2020
GENERAL MUNICIPAL ELECTION

Filing Deadline	Type of Statement	Statement Period	Method of Delivery
Thursday, September 24, 2020	FPPC Form 460 First Pre-Election Campaign Statement <i>or</i> FPPC Form 470 Officeholder & Candidate Campaign Statement Short Form	July 1* – Sept. 19, 2020	<ul style="list-style-type: none"> • Electronic Filing[^] • Personal delivery (during business hours) • First class mail • Guaranteed overnight service
Thursday, October 22, 2020	FPPC Form 460 Second Pre-Election Campaign Statement	Sept. 20 – Oct. 17, 2020	<ul style="list-style-type: none"> • Electronic Filing[^] • Personal delivery (during business hours) • First class mail • Guaranteed overnight service
Within 24 Hours**	FPPC Form 497 Contribution of \$1,000 or more FPPC Form 496 Independent Expenditure of \$1,000 or more	Aug. 5 – Nov. 3, 2020	<ul style="list-style-type: none"> • Electronic Filing[^] • Personal delivery (during business hours) • Guaranteed overnight service • FAX or e-mail^{^^}
Within 48 Hours***	FPPC Form 497 In-Kind contribution received with a value of \$1,000 or more	Aug. 5 – Nov. 3, 2020	<ul style="list-style-type: none"> • Electronic Filing[^] • Personal delivery (during business hours) • Guaranteed overnight service • FAX or e-mail^{^^}
Monday, Feb. 1, 2021	FPPC Form 460 Semi-Annual Campaign Statement	Oct. 18 – Dec. 31, 2020	<ul style="list-style-type: none"> • Electronic Filing[^] • Personal delivery (during business hours) • First class mail • Guaranteed overnight service

* 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 was filed for the current year.

** A contribution or independent expenditure of \$1,000 or more must be reported within 24 hours of the time the contribution or expenditure was made or received.

*** An in-kind contribution with a value of \$1,000 or more must be reported within 48 hours of it being made or received. Reference FPPC Forms 496 and 497 for details regarding late contributions and independent expenditures.

[^] The online e-filing option is available to Montclair filers 24 hours a day, 7 days a week at www.cityofmontclair.org/campaign-filing

^{^^} FAX: (909) 621-1584; E-mail: cityclerk@cityofmontclair.org

Additional Notes:

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.

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:

Form 462: This form must be e-mailed to the FPPC within 10 days (form462@fppc.ca.gov) and maintained with the committee's records.

Form 496: This form is due within 24 hours if made in the 90-day, 24-hour reporting period of the candidate's or measure's election. Refer to the applicable filing schedule. Form 496 is filed with the filing officer in the jurisdiction of the affected candidate or measure.

After Election: Reporting requirements depend on whether 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 at www.fppc.ca.gov

Campaign Filer Training for Candidates & Treasurers

Did you know that NetFile offers free online training for campaign committee filers? Well, we do! NetFile offers an online training session with one of our Customer Support staff during our normal business hours (M-F, 9am to 5pm). We handle everything once a filer signs up to request a training session.

How do Filers Sign Up?

It is really easy to sign up. All a filer needs to do is open a web browser and go to: <https://netfile.com/Content/CampaignTraining>. Once the page loads, the filer just needs to provide us with a few pieces of information:

- First Name
- Last Name
- E-Mail Address
- Primary Phone
- Alternate Phone (Not required)
- Best Time to Call
- Committee Name
- Your Position (with the committee).
- Filing Agency

What Happens Next?

When the filer submits the information on the web form, NetFile receives the request via e-mail and the filer receives a copy of the e-mail as well. One of our Customer Support staff then contacts the filer to coordinate the training.

What Can the Filer Expect from the Training?

The training session consists of the following topics:

- How to set up a NetFile User
- How to link to their committee's account to their NetFile User
- How to set up their committee's account
- How to search for and add entities
- How to add common transactions
- How to request further assistance



Alex Padilla California Secretary of State

Where Campaign Statements Must Be Filed by Candidates, Officeholders and Campaign Committees at the Local Level

Candidate Intention Statement Form 501

All candidates for an elective city or county office are required to file the Candidate Intention Statement (Form 501) with the filing officer who receives the originals of their campaign statements before the solicitation or receipt of any campaign contribution (including loans and in-kind contributions). All state or statewide candidates are required to file the Candidate Intention Statement (Form 501) with the Secretary of State's Political Reform Division. (Government Code section 85200)

Statement of Organization (Recipient Committees) Form 410

A Statement of Organization (Form 410) must be filed by all recipient committees that raise \$1,000 or more in a calendar year to influence California's local and/or state elections. The original and one copy of the Statement of Organization must be filed with the Secretary of State's Political Reform Division. A copy must also be filed with the local filing officer who will receive the committee's original campaign statements. (Government Code section 84101) An amended Statement of Organization must be filed at the same locations within 10 days of a change in any of the information contained in the most recently filed Statement of Organization. (Government Code section 84103)

Termination Form 410

A Statement of Organization (Form 410) with the "Termination" box checked must be filed by recipient committees in order to terminate ongoing filing obligations. The original and one copy of the terminating Statement of Organization must be filed with the Secretary of State's Political Reform Division. A copy of the terminating Statement of Organization must be filed with the local filing officer with whom original campaign statements are filed. (2 CCR section 18404).

Campaign Statements (City Level) Form 460

Elected city officials, candidates for city office, their controlled committees, committees primarily formed to support or oppose such candidates, or measures being voted upon within one city, and city general purpose committees must file the original and one copy with the City Clerk. (Government Code section 84215 (d))

Source: <http://www.sos.ca.gov/campaign-lobbying/campaign-disclosure-and-requirements/campaign-filing-requirements/where-campaign-statements-must-be-filed-candidates-officeholders-and-campaign-committees-local-level/>

NOTICE: Complying with Original Signature Requirements during the COVID-19 Crisis

The California Secretary of State, Political Reform Division is aware that some filers are finding it difficult or impossible to obtain original signatures during the COVID-19 crisis. For further information on this topic, please review Guidance to Filers re Original Signatures on the following pages.



ALEX PADILLA | SECRETARY OF STATE | STATE OF CALIFORNIA POLITICAL REFORM

1500 11th Street, Room 495 | Sacramento, CA 95814 | Tel 916.653.6224 | Fax 916.653.5045 | www.sos.ca.gov

Guidance to Filers: Complying with Original Signature Requirements during the COVID-19 Crisis

This guidance applies to all filers who are required by the Political Reform Act of 1974 to file with the Secretary of State, including both campaign disclosure and lobbying filings.

The California Secretary of State, Political Reform Division is aware that some filers are finding it difficult or impossible to obtain original signatures during the COVID-19 crisis. We encourage all filers to continue to file all paper reports and statements with an original signature to the extent possible. However, when it is not possible or practicable to obtain original signatures, filers may submit non-original signatures (e.g. by scanning and emailing an original signature). All filers who submit non-original signatures must include a statement explaining why they were not able to file an original signature. Filers must subsequently send the Secretary of State the statement or report with an original signature at the earliest possible time. Reports or statements filed without an original signature will not be assessed late fines by the Political Reform Division solely based on the missing original signature.

The Political Reform Act of 1974 requires that “all reports and statements filed under this title shall be signed under penalty of perjury and verified by the filer” (Government Code section 81004). For paper filings, those signatures must be original, “wet” signatures. However, Fair Political Practices Commission (FPPC) guidance states that a document filed without an original signature is a “type of omission or error to be remedied by the filer but not fatal to the effective date of the filing” (see *In re Layton*, 1 FPPC Ops. 113 (1975)).

The FPPC has published guidance related to the COVID-19 crisis stating: “If a candidate or committee makes best efforts to comply with the Political Reform Act’s campaign finance disclosure rules but is unable to do so due to the COVID-19 pandemic, the FPPC will consider this a strong mitigating factor in determining whether an enforcement action against the candidate or committee is appropriate.” (See the enclosed FPPC Guidance on Campaign Filing Deadlines.) The FPPC clarified that this also applies to lobbying filing deadlines, stating: “If a person with lobbying filing requirements makes best efforts to comply with the Political Reform Act’s lobbying registration and reporting rules but is unable to do so due to the COVID-19 pandemic, the FPPC will consider this a strong mitigating factor in determining whether an enforcement action against the person is appropriate.” (See the enclosed FPPC Guidance on Lobbying Filing Deadlines.)

If you are able to file electronically in lieu of filing on paper, please do so.

If you are unable to obtain an original signature for a required paper filing that you cannot file electronically, please include a statement with the filing that contains the following information:

- An explanation stating why the filing could not have been sent with a wet signature.
- A statement that the filing is being submitted under the penalty of perjury and that all of the information is true and correct.

If you are able to send us a paper filing with a non-original signature by mail, we will continue to accept submissions by that method.

While the public counter is closed, you may also drop off documents to be processed in a drop box in the lobby of the Secretary of State's office, 1500 11th Street, Sacramento, CA 95812.

If you are unable to file by mail or in person, please scan and email the document to one of the following email addresses based on the nature of the filing:

Forms/Filings	Mailbox Description	Email Address
Form 410 - Initial, Amendment, and Termination	F410 Inquiries	form410review@sos.ca.gov
Forms 400, 401, 402, 425, 450, 460, 470 Short, 470 Summary, and 511.	Slate Mailers, Officeholder and Candidate Campaign Statement, Campaign Disclosures, and Paid Spokesperson Report	prdcampaign@sos.ca.gov
Form 501 - Candidate Intention Statement	F501 Inquiries	form501@sos.ca.gov
Forms 601, 602, 603, 604, 605, 606, and 607. For filers not meeting the \$2,500 threshold - 615, 625, 630, 635, 635-C, 640, 645, and 690.	Lobbying Requests	prdlobbying@sos.ca.gov
Form 461 - Major Donor and Independent Expenditure Committee Campaign Statement - Initial and Amendments	Major Donor/IE Inquiries	form461@sos.ca.gov
PRD - 1	Waiver Requests	prdwaivers@sos.ca.gov

Note: our email system will not accept large attachments. Limit submissions to a small file size to ensure successful delivery. Optimize files to a resolution suitable for emailing.

Email questions to: politicalreform2@sos.ca.gov

Enclosed: *In re Layton*, 1 FPPC Ops. 113 (1975)
 FPPC Guidance on Campaign Filing Deadlines (3/20/2020)
 FPPC Guidance on Lobbying Filing Deadlines (4/10/2020)

This guidance was originally published on March 27, 2020 and was updated on April 10, 2020 to reference guidance the FPPC released on that same date related to lobbying filing deadlines. This guidance remains in effect until the end of the COVID crisis, as it relates to filing under the Political Reform Act of 1974, as determined by the Secretary of State.



STATE OF CALIFORNIA
FAIR POLITICAL PRACTICES COMMISSION
1102 Q Street • Suite 3000 • Sacramento, CA 95811
(916) 322-5660 • Fax (916) 322-0886

FOR IMMEDIATE RELEASE
March 20, 2020

FOR FURTHER INFORMATION
CONTACT:
Jay Wierenga, FPPC
(916) 322-7761

FPPC offers guidance on Campaign Filing Deadlines in wake of COVID-19

In light of the Statewide shelter-in-place order, the FPPC understands the unique and extraordinary situation caused by our united efforts to deal with the COVID-19 pandemic. We are issuing this advisory as we acknowledge the reality the impact this order will have on the current and ongoing election cycle. While we acknowledge the legal nature of filing requirements and deadlines, the FPPC recognizes offices around the State are closed and the stay at home directive means the filing of campaign statements and reports will be difficult.

With that in mind, we still encourage candidates and committees to continue to make the best efforts to timely disclose campaign activity to the public. State and local candidates are encouraged to make use of electronic filing options, if available. All candidates and committees that file campaign statements and reports with the Secretary of State's office (SOS) may use SOS's online filing system. Local candidates and committees should contact their local filing officers to determine if electronic filing is available in their jurisdiction.

"It obviously would not be a good use of our enforcement resources to focus time and energy prosecuting violations that are clearly and demonstrably caused by conditions created by the pandemic," said FPPC Chair Richard C. Miadich. "We want to be as flexible and realistic as possible to help campaigns comply while also providing the public the information needed to make informed decisions."

The law requires certain statements and reports be filed with original signatures. We recognize restrictions imposed to fight the spread of COVID-19 may make the logistics of filing documents on paper with original signatures difficult or even impossible. To the extent that is the case, candidates and committees are encouraged to make use of digital and electronic options for filing statements and reports to ensure the timely filing of statements and reports (e.g. email and fax filing, scanned and/or photocopied signatures, electronic signatures, etc.). Paper statements with originals would need to be filed when feasible. If circumstances caused by COVID-19 inhibit a candidate's or committee's ability to timely file statements and reports, candidates and committees should communicate these issues to their filing officers and document all attempts to file and the issues faced.

If a candidate or committee makes best efforts to comply with the Political Reform Act's campaign finance disclosure rules but is unable to do so due to the COVID-19 pandemic, the FPPC will consider this a strong mitigating factor in determining whether an enforcement action against the candidate or



STATE OF CALIFORNIA
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committee is appropriate. The FPPC is committed to promoting timely and effective campaign disclosure to the public but also appreciates the larger public safety issues currently facing the state.

If you have questions or concerns above campaign filing obligations, please email us at advice@fppc.ca.gov.

X X X

California Fair Political Practices Commission

Recent Changes to the Political Reform Act (Overview)

Below are summaries of the significant legislative and regulatory changes made to the Political Reform Act in 2019. The legislative provisions of the following bills **take effect on January 1, 2020**:

- AB 201 (*Campaign disclosure text messages; Cervantes*)
- AB 220 (*Use of campaign funds for childcare expenses; Bonta*)
- AB 864 (*DISCLOSE Act; Mullin*)
- AB 902 (*Commission regulations; Levine*)
- AB 903 (*Political Reform Act amendments; Levine*)
- AB 946 (*Omnibus non-substantive; Assembly Elections Committee*)
- AB 1043 (*Use of campaign funds for cybersecurity; Irwin*)
- SB 71 (*Campaign expenditure limitations for sexual assault, abuse and harassment claims; Leyva*)
- SB 84 (*Cal-Access implementation delay; Senate Budget and Fiscal Review Committee*)

The operative date for the following new laws passed in 2019 are **delayed** as instructed by each bill:

- AB 571 (*Local contribution limits; Mullin*) is delayed until January 1, 2021.
- AB 909 (*Treasurer acknowledgement; Gallagher*) is delayed until the certification of the new Cal-Access system (expected February 2021).

The operative date for the following delayed 2018 bill is **taking effect January 1, 2020**:

- AB 2188 (*DISCLOSE Act; Mullin*)

To view the full text of the bills, visit: <http://leginfo.legislature.ca.gov/>. Visit the [FPPC's Regulations page](#) for full text of the regulations.

A printable summary of all 2019 legislative and regulatory changes can be found on the following page.

Source: <http://www.fppc.ca.gov/content/fppc-v2/fppc-www/the-law/recent-changes-to-the-political-reform-act.html> (Information Current as of July 8, 2020)

Recent Changes to the Political Reform Act

Below are summaries of the legislative and regulatory changes made to the Political Reform Act (Act) in 2019. All of the legislative provisions except for AB 571 and AB 909 take effect January 1, 2020. To view the full text of the bills, visit: <http://leginfo.legislature.ca.gov/>. To view the full text of the FPPC regulations, visit: <http://www.fppc.ca.gov/the-law/fppc-regulations.html>.

Legislative

Text message disclosures: Requires a candidate or committee to disclose the name of the candidate or committee in certain text message ads sent using mass distribution technology either directly in the text message or via a hyperlink in the text message. The bill sets forth standards for color and size of the text in the text message and disclosures on the linked website. The disclosure requirements depend on the type of committee paying for the advertisement. Disclosure requirements are also dependent on the sender of the text: paid staff, volunteer, or mass distribution technology. There are additional exceptions in the legislation. This bill is operative January 1, 2020. (AB 201 (Cervantes) – Chapter 555, Statutes 2019)

Campaign funds: childcare expenses: Authorizes the use of campaign funds to pay or reimburse for childcare expenses directly resulting from a candidate engaging in campaign activities. The bill also permits the use of campaign funds for childcare expenses resulting from an officeholder engaging in activities that are both political and legislative or governmental. “Childcare expenses” are defined as reasonable costs of professional daycare services, babysitting, and nanny services among other expenses. Prohibited expenses include private school tuition, medical expenses, tutoring services, or payments to a relative for childcare services unless the relative’s activities meet the exception in the bill text. (AB 220 (Bonta) – Chapter 384, Statutes of 2019)

Contribution limits: Establishes a contribution limit for city and county elections, equal to state legislative limits, to be regulated and enforced by the FPPC. Jurisdictions with existing limits or adopting their own limits are not subject to the state legislative limit. The Commission will not enforce a contribution limit adopted by local jurisdictions. Does not apply to special districts. (AB 571 (Mullin) – Chapter 556, Statutes of 2019)

Disclose Act amendments: Makes various changes to the DISCLOSE Act, including:

- Exempts from the definition of “mass electronic mailing” communications that are solicited by the recipients
- Exempts from the definition of “advertisement” communications that are received as a result of a customer expressly opting in to receive political communications from a provider of goods or services
- Clarifies disclosure requirements for print advertisements larger than those designed to be individually distributed
- Further defines “online platform” and “online platform disclosed advertisement”

- Corrects conflict from AB 249 related to electronic media ads and applicable disclosures for political party committees and candidate-controlled committees who pay for independent expenditure ads supporting or opposing a ballot measure

(AB 864 (Mullin) – Chapter 558, Statutes of 2019)

Codification of Commission regulations: Enters certain FPPC regulations into the Political Reform Act. These regulations have been identified by commission staff as being longstanding and non-controversial. These amendments include:

- Extensions for filing deadlines that fall on a weekend or holiday
- Duties of filing officers
- Definition of “candidate”
- Definition of “aggregated contributions”
- Definition of “lobbying coalition” and other conforming changes
- Definition of “spouse”
- Designation of an “assistant treasurer”
- When to update Top 10 Contributors list under section 84223
- How a public official discloses leasehold interests
- When a gift is received and accepted
- The scope of audits and investigations

(AB 902 (Mullin) – Chapter 312, Statutes of 2019)

Clarifying amendments to the Political Reform Act: Clarifies various sections of the Political Reform Act. In addition to non-substantive changes, clarifies preelection reporting requirements and clarifies that under certain conditions communications paid for with public moneys by state or local government agencies are considered expenditures. (AB 903 (Levine) – Chapter 102, Statutes of 2019)

Treasurer acknowledgement: Requires an additional acknowledgement of duties and liabilities by a treasurer or assistant treasurer recognized on the Form 410, or Statement of Organization. This additional acknowledgement is a separate statement required to be filed with the Secretary of State. The statement is filed at the same time as the Statement of Organization or an amendment identifying a new treasurer or assistant treasurer. (AB 909 (Gallagher) – Chapter 313, Statutes of 2019)

Omnibus non-substantive changes: Repeals expired provisions of the Act that are no longer applicable or that are now antiquated. (AB 946 (Assembly Elections Committee) – Chapter 315, Statutes of 2019)

Campaign funds: cybersecurity: Allows the use of campaign funds to pay or reimburse for cybersecurity protections including hardware, software, and services related to the electronic devices of a candidate, elected officer, or campaign worker. The bill requires the disclosure and reporting of any cybersecurity expenditures using campaign funds to the FPPC in the candidate or elected officer’s campaign statements. (AB 1043 (Irwin) – Chapter 46, Statutes of 2019)

Campaign expenditure limitations: sexual assault, abuse, and harassment claims:

Allows the expenditure of funds in a campaign committee or legal defense fund to pay for a candidate or elected official's legal costs and expenses related to claims of sexual assault, sexual harassment, or sexual abuse. However, if the candidate is "held liable for such a violation," the candidate or elected official would be required to reimburse the committee account for all funds used in connection with those legal costs and expenses. Funds from a candidate's committee or legal defense fund may not be used to pay or reimburse for a penalty, judgement, or settlement related to these claims. (SB 71 (Leyva) – Chapter 564, Statutes of 2019)

Cal-Access implementation delay: Extends the launch date of the Secretary of State's new Cal-Access filing and disclosure system to February 2021. There is no provision allowing for an extension. (SB 84 (Senate Budget and Fiscal Review Committee) – Chapter 30, Statutes of 2019)

Regulatory

Campaign Changes

Regulation 18422 – Multipurpose Organization Political Activity Transparency and Regulation 18422.1 – Required Recordkeeping for Multipurpose Organizations:

Amendments to Regulation 18422 and adoption of Regulation 18422.1 provide greater detail and clarity regarding the record keeping requirements for multipurpose organization subject to Section 84222.

Regulations 18435, 18450.2, 18450.3, and 18450.4 – Disclose Act: Amendments to Regulation 18435 clarify the disclosure requirements for mass mailings. New Regulations 18450.2, 18450.3 and 18450.4 define the phrase "authorized and paid for" as used in the statutory definition of "advertisement;" clarify the top contributor disclosure for major donor committees that qualify as top contributors by virtue of affiliated entities; and address the required length of a disclosure for a video or television advertisement lasting less than four or five seconds.

Conflict of Interest Materiality Changes

Regulation 18702.1 – Materiality Standard: Financial Interest in Business Entity:

Amendments establish a bright-line materiality standard for evaluating whether it is reasonably foreseeable a government decision will have a material financial effect on an official's interest in a business entity.

Regulation 18702.2 – Materiality Standard: Financial Interest in Real Property:

Amendments establish a bright-line materiality standard for evaluating whether it is reasonably foreseeable a government decision will have a material financial effect on an official's interest in real property.

Regulation 18702.3 – Materiality Standard: Financial Interest in a Source of Income:

Amendments establish a bright-line materiality standard for evaluating whether it is reasonably foreseeable a government decision will have a material financial effect on a source of income to an official.

Regulation 18702.4 – Materiality Standard: Financial Interest in Source of Gift:

Amendments establish a bright-line materiality standard for evaluating whether it is reasonably foreseeable a government decision will have a material financial effect on a non-profit organization that provides gifts to a public official.

Regulation 18702.5 – Materiality Standard: Financial Interest in an Official’s Personal Finances:

Amendments establish a bright-line materiality standard for evaluating whether it is reasonably foreseeable a government decision will have a material financial effect on an official’s personal finances.

Gifts Changes

Regulation 18944.1 – Gifts: Agency Provided Tickets or Passes: Amendments clarify the requirements for agency-provided tickets or passes to be exempt from qualification as gifts under the Act.

Regulation 18946 – Valuation of Gifts and Regulation 18946.1 – Exception- Valuation of Gifts: Passes and Tickets: In conjunction with amendments to Regulation 18944.1, amendments change the term “face value” to “fair value” and add language to clarify the definition of “fair value” specifying that, where the price indicated on the ticket does not reflect the actual cost for a ticket in a luxury box or suite, the value is determined by dividing the total cost of the box or suite by the number of tickets available for that box or suite.

Enforcement Changes

Regulation 18360.1 – Eligibility Requirements and Considerations -Streamline and Warning Letters and Regulation 18360.2 – Penalties in Streamline Cases: New regulations codify and expand the Commission’s Streamline Settlement Program.

Regulation 18998 – Commission Audits and Investigations: New regulation clarifies the auditing guidelines and standards applied by Commission staff in conducting mandatory and discretionary audits and investigations.

Other Regulations

Regulations 18308, 18308.1, 18308.2 & 18308.3 – Commission Governance: These regulations were repealed. The Commission adopted new governance principles to be placed in an internal policy rather than in regulation.

Regulation 18329 – Formal Written Advice and Informal Assistance: Amendments update and re-organize the prior version of the regulation to reflect current formal advice and informal assistance practices, detail the process for Commission actions in responding to written requests, and provide clarity for requestors as to their rights and duties in requesting and receiving advice.

Regulation 18756 – Statements of Economic Interests: Certification of Electronic Filing Systems: Amendments codify the requirement that an agency’s electronic filing system meet the data exchange requirements necessary for the agency’s system to properly function with the FPPC’s electronic filing system in order to obtain certification of the agency’s system from the FPPC.

California Fair Political Practices Commission

Frequently Asked Questions: Campaign Activity

Getting StartedPage 1	Ballot Measure CommitteesPage 3
Fundraising Page 4	Expenditures Page 6
Communications Page 7	24-Hour Contribution Reports ... Page 7
Enforcement Page 8	CandidatesPage 8

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.

Frequently Asked Questions: Form 700 Disclosure

General.....Page 1	Income..... Page 2	Investments.....Page 3
Real Property....Page 4	Enforcement.....Page 4	Gifts/Travel..... Page 4
Tickets to Non-Profit and Political Fundraising Events.....Page 8		

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 is required by the form. When necessary, you may contact the FPPC for specific, personal guidance. You may only obtain immunity from an 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 are 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. Generally, the Form 700 must be filed with the agency within 30 days of the date of hire. 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.
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 (i.e., CalPERS) are not reportable. Investments held in a fund such as a defined contribution plan 401(k) or exchange traded fund (ETF) are not required to be disclosed if the fund meets the specific criteria outlined in Regulation 18237. An official may need to contact 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.)

Real Property Questions

18. 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.
19. 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.
20. 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

21. 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

22. Q. What is the gift limit for 2017-2018?
- A. **\$470:** This means that gifts from a single, reportable source, other than a lobbyist or lobbying firm (see below), may not exceed \$470 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 \$470 to avoid consideration under the conflict rules. The gift limit for 2015 – 2016 was \$460.

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.

23. 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.
24. 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 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.
25. 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.
26. 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.
27. 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.
28. 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.
29. 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.
30. 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.
31. 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.
32. 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.
33. 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.
34. 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.")
35. 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.
36. 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.

37. 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.
38. 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.
39. 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.
40. 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.)
41. 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.
42. Q. The local airport authority issues a certain number of airport parking cards to the County to allow the cardholders to use the parking facilities at the airport at no charge, provided the cardholder is on official business. Must the officials who use the parking cards report a gift on the Form 700?
- A. No. As long as the parking cards are used for official business only, the parking cards do not provide a personal benefit, so no gift is received. If a parking card is used for *personal* purposes, a gift must be reported.

Tickets to Non-Profit and Political Fundraisers Questions

43. 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.

44. 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.
45. 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.
46. Q. An agency employee who holds a position designated in the 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.
47. 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.
48. 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.
49. 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.

50. 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 food and beverages “drop-in” exception is not on the nature of the event as a whole, but rather on the particular official’s brief attendance and limited consumption. If an official attends an event that serves only appetizers and drinks, the “drop-in” exception would only apply if the official just “drops in” for a few minutes and consumes only a “de minimis” amount of appetizers and drinks. However, the “drop-in” exception does not automatically apply just because the event does not serve more than appetizers and drinks.
51. 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 stated 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 stated 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.
52. 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 (or pay down the value to under the \$50 gift reporting threshold if the official does not want to disclose the ticket). Reimbursement 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 for the payment. A ticket that is not used and not given to another person is not considered a gift to the official.

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

Date Stamp	CALIFORNIA FORM 501
For Official Use Only	

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
OFFICE JURISDICTION	PARTY PREFERENCE: (Check one box, if applicable.)		
State (Complete Part 2.)	PRIMARY / GENERAL		
City County Multi-County: _____ (Name of Multi-County Jurisdiction)	_____ (Year of Election)	SPECIAL / RUNOFF	

2. State Candidate Expenditure Limit Statement:

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

(Check one box)

I accept the voluntary expenditure ceiling for the election stated above.

I do not accept the voluntary expenditure ceiling for the election stated above.

Amendment:

I did not exceed the expenditure ceiling in the primary or special election held on ___/___/___ and I accept the voluntary expenditure ceiling for the general or special run-off election.

(Mark if applicable)

On, ___/___/___ I contributed personal funds in excess of the expenditure ceiling for the election stated above.

3. Verification:

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

Executed on _____ Signature _____
(month, day, year) (Candidate)

Statement of Organization Recipient Committee

CALIFORNIA
FORM 410

Who Files

Recipient Committees: Persons (including an officeholder or candidate), organizations, groups, or other entities that raise contributions from others totaling \$2,000 or more in a calendar year to spend on California elections. They must register with the Secretary of State and report all receipts and expenditures. "Contributions" include monetary payments, loans and non-monetary goods and services received or made for a political purpose.

Candidates: The personal funds of a candidate or officeholder used to seek or hold elective office are contributions and count toward qualifying as a recipient committee. However, personal funds used to pay a candidate filing fee or a fee for the statement of qualifications to appear in the ballot pamphlet do not count toward the \$2,000 threshold.

Multipurpose Organizations: A nonprofit organization, federal or out-of-state PAC, or other multipurpose organization that makes contributions or expenditures in California elections may also be required to register as a recipient committee with the Secretary of State. See the Fact Sheet on Multipurpose Organizations Reporting Political Spending and the Supplemental Form 410 Instructions.

When to File

File this form within 10 days of receiving \$2,000 in contributions. Include a \$50 payment made payable to the Secretary of State. Thereafter, the \$50 fee is due annually no later than January 15. In addition to the \$50 fee, a penalty of \$150 may be assessed if payment is late.

For early submissions, mark the "not yet qualified" box. The \$50 fee is requested at this time but is not legally required until the committee qualification threshold has been met.

Where to File

All Committees: Form 410 with original ink signature(s)
Secretary of State
Political Reform Division
1500 11th Street, Rm 495
Sacramento, CA 95814

County & City

Committees: Also file a copy with the local filing officer who will receive the original campaign statements.

Read instructions carefully as a Form 410 will be rejected if all applicable sections are not completed.

Committee ID Number

The committee's ID number will be posted at cal-access.sos.ca.gov. To receive an official, stamped copy of your approved Form 410, send a request, the original form, two copies of the form, and a self-addressed, stamped envelope, to the Secretary of State.

Amendments

When information contained in the committee's Statement of Organization changes, file an amendment within 10 days of the change with the Secretary of State and local filing officer (if applicable). During the period 16 days before an election, file an amendment within 24 hours as described below.

24-Hour Reporting

In addition to the 10-day rule to file an original

Form 410:

- A recipient committee that qualifies during the 16 days prior to an election in which it must file pre-election statements must file a Form 410 within 24 hours of qualification with the filing officer who will receive the committee's original disclosure statements.
- A recipient committee that qualifies during the 90 days prior to an election or on the date of the election in which the committee makes independent expenditures of \$1,000 or more to support or oppose a candidate in that election must file the Form 410 within 24 hours of qualification with the filing officer who will receive the committee's original disclosure statements and with the filing officer(s) for the candidate(s) supported or opposed by the independent expenditure.
- If, during the 16 days prior to an election when a committee is required to file pre-election statements, a change occurs in the name of the committee, the treasurer or other principal officers, or the controlling candidate, an amendment must be filed with the filing officer receiving the committee's original campaign statements within 24 hours of the change.

These filings must be made by fax, 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.

**Statement of Organization
Recipient Committee**

Statement Type

<p>Initial</p> <p>Not yet qualified or Date qualification threshold met</p> <p>____/____/____</p>	<p>Amendment</p> <p>Date qualification threshold met</p> <p>____/____/____</p>	<p>Termination – See Part 5</p> <p>Date of termination</p> <p>____/____/____</p>
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Date Stamp

**CALIFORNIA
FORM 410**

For Official Use Only

1. Committee Information		I.D. Number <small>(if applicable)</small>		2. Treasurer and Other Principal Officers			
NAME OF COMMITTEE				NAME OF TREASURER			
STREET ADDRESS (NO P.O. BOX)				STREET ADDRESS (NO P.O. BOX)			
CITY	STATE	ZIP CODE	AREA CODE/PHONE	CITY	STATE	ZIP CODE	AREA CODE/PHONE
FULL MAILING ADDRESS (IF DIFFERENT)				NAME OF ASSISTANT TREASURER, IF ANY			
E-MAIL ADDRESS (REQUIRED) / FAX (OPTIONAL)				STREET ADDRESS (NO P.O. BOX)			
CITY	STATE	ZIP CODE	AREA CODE/PHONE	CITY	STATE	ZIP CODE	AREA CODE/PHONE
COUNTY OF DOMICILE	JURISDICTION WHERE COMMITTEE IS ACTIVE			NAME OF PRINCIPAL OFFICER(S)			
<p><i>Attach additional information on appropriately labeled continuation sheets.</i></p>				STREET ADDRESS (NO P.O. BOX)			
				CITY	STATE	ZIP CODE	AREA CODE/PHONE

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

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).

**Statement of Organization
Recipient Committee**

INSTRUCTIONS ON REVERSE

Page 2

COMMITTEE NAME	I.D. NUMBER
----------------	-------------

- All committees must list the financial institution where the campaign bank account is located.

NAME OF FINANCIAL INSTITUTION	AREA CODE/PHONE	BANK ACCOUNT NUMBER
-------------------------------	-----------------	---------------------

ADDRESS	CITY	STATE	ZIP CODE
---------	------	-------	----------

4. Type of Committee Complete the applicable sections.

Controlled Committee

- List the name of each controlling officeholder, candidate, or state measure proponent. If candidate or officeholder controlled, also list the elective office sought or held, and district number, if any, and the year of the election.
- List the political party with which each officeholder or candidate is affiliated or check "nonpartisan." Stating "No party preference" is acceptable
- If this committee acts jointly with another controlled committee, list the name and identification number of the other controlled committee.

NAME OF CANDIDATE/OFFICEHOLDER/STATE MEASURE PROPONENT	ELECTIVE OFFICE SOUGHT OR HELD (INCLUDE DISTRICT NUMBER IF APPLICABLE)	YEAR OF ELECTION	PARTY CHECK ONE		(list political party below)
			Nonpartisan	Partisan	
			Nonpartisan	Partisan	

Primarily Formed Committee

Primarily formed to support or oppose specific candidates or measures in a single election. List below:

CANDIDATE(S) NAME OR MEASURE(S) FULL TITLE (INCLUDE BALLOT NO. OR LETTER) IF A RECALL, STATE "RECALL" IN FRONT OF THE OFFICEHOLDER'S NAME.	CANDIDATE(S) OFFICE SOUGHT OR HELD OR MEASURE(S) JURISDICTION (INCLUDE DISTRICT NO., CITY OR COUNTY, AS APPLICABLE)	CHECK ONE	
		SUPPORT	OPPOSE
		SUPPORT	OPPOSE

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.

Statement of Organization
Recipient Committee

INSTRUCTIONS ON REVERSE

CALIFORNIA FORM 410
Page 3
I.D. NUMBER

COMMITTEE NAME

4. Type of Committee (Continued)

General Purpose Committee Not formed to support or oppose specific candidates or measures in a single election. Check only one box:
 CITY Committee COUNTY Committee STATE Committee

PROVIDE BRIEF DESCRIPTION OF ACTIVITY

Sponsored Committee List additional sponsors on an attachment.

NAME OF SPONSOR			INDUSTRY GROUP OR AFFILIATION OF SPONSOR			
STREET ADDRESS	NO. AND STREET	CITY	STATE	ZIP CODE	AREA CODE/PHONE	

Small Contributor Committee _____ / _____ / _____
 Date qualified

5. Termination Requirements By signing the verification, the treasurer, assistant treasurer and/or candidate, officeholder, or ponent 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.

The Form 460 is for use by all recipient committees, including:

Candidates, Officeholders and Their Controlled Committees

- A candidate or officeholder who has a controlled committee, or who has raised or spent or will raise or spend \$2,000 or more during a calendar year in connection with election to office or holding office. The Form 460 is also required if \$2,000 or more will be raised or spent during the calendar year at the behest of the officeholder or candidate.

Primarily Formed Ballot Measure Committees

- A person, entity, or organization that receives contributions totaling \$2,000 or more during a calendar year for the primary purpose of supporting or opposing the qualification, passage, or defeat of a single ballot measure or two or more measures being voted on in the same city, county, multi-county or state election.

Primarily Formed Candidate/Officeholder Committees

- A person, entity, or organization that receives contributions totaling \$2,000 or more during a calendar year to support or oppose a single candidate or officeholder, or two or more candidates or officeholders who are being voted upon in the same city, county, or multi-county election. This type of committee is not controlled by the candidate(s) or officeholder(s).

General Purpose Committees

- A person, entity, or organization that receives contributions totaling \$2,000 or more during a calendar year to support or oppose various candidates and measures (e.g., political parties, political action committees).

Non-controlled committees that do not receive contributions, loans, or miscellaneous receipts totaling \$100 or more from a single source during a calendar year may use Form 450 – Recipient Committee Campaign Statement – Short Form.

Note: Refer to the Statement of Organization, Form 410, for guidance to determine the type of committee.

Use the Form 460 to file any of the following:

- Preelection Statement
- Semi-annual Statement
- Quarterly Statement
- Special Odd-Year Report
- Termination Statement
- Amendment to a previously filed statement

Note: Mark the preelection statement box if a committee files a monthly report in connection with a LAFCO proposal.

See reverse for general guidance on where to file this form.

Contribution Limits: Candidates for elective state office are subject to state contribution limits. Contributions received by committees for the purpose of making contributions to candidates for elective state office are also subject to limits. A chart identifying the limits is located at www.fppc.ca.gov. 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

CALIFORNIA
FORM **460**

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.

Recipient Committee Campaign Statement Cover Page

Date Stamp	CALIFORNIA FORM 460
	Page _____ of _____
	For Official Use Only

<p style="text-align: center;">Statement covers period</p> <p>from _____</p> <p>through _____</p>	<p>Date of election if applicable: (Month, Day, Year)</p> <p>_____</p>
--	---

SEE INSTRUCTIONS ON REVERSE

1. Type of Recipient Committee: All Committees – Complete Parts 1, 2, 3, and 4.

- | | |
|---|--|
| Officeholder, Candidate Controlled Committee
State Candidate Election Committee
Recall
<i>(Also Complete Part 5)</i> | Primarily Formed Ballot Measure
Committee
Controlled
Sponsored
<i>(Also Complete Part 6)</i> |
| General Purpose Committee
Sponsored
Small Contributor Committee
Political Party/Central Committee | Primarily Formed Candidate/
Officeholder Committee
<i>(Also Complete Part 7)</i> |

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

I.D. NUMBER

COMMITTEE NAME (OR CANDIDATE'S NAME IF NO COMMITTEE)

STREET ADDRESS (NO P.O. BOX)

CITY STATE ZIP CODE AREA CODE/PHONE

MAILING ADDRESS (IF DIFFERENT) NO. AND STREET OR P.O. BOX

CITY STATE ZIP CODE AREA CODE/PHONE

OPTIONAL: FAX / E-MAIL ADDRESS

Treasurer(s)

NAME OF TREASURER

MAILING ADDRESS

CITY STATE ZIP CODE AREA CODE/PHONE

NAME OF ASSISTANT TREASURER, IF ANY

MAILING ADDRESS

CITY STATE ZIP CODE AREA CODE/PHONE

OPTIONAL: FAX / E-MAIL ADDRESS

4. Verification

I have used all reasonable diligence in preparing and reviewing this statement and to the best of my knowledge the information contained herein and in the attached schedules is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on _____
Date

By _____
Signature of Treasurer or Assistant Treasurer

Executed on _____
Date

By _____
Signature of Controlling Officeholder, Candidate, State Measure Proponent or Responsible Officer of Sponsor

Executed on _____
Date

By _____
Signature of Controlling Officeholder, Candidate, State Measure Proponent

Executed on _____
Date

By _____
Signature of Controlling Officeholder, Candidate, State Measure Proponent

Instructions for Recipient Committee Campaign Statement – Cover Page

CALIFORNIA
FORM **460**

Period Covered by a Statement:

The “period covered” by a campaign statement begins the day after the closing date of the last campaign statement filed. For example, if the closing date of the last statement was September 30, the beginning date of the next statement will be October 1.

If this is the committee’s first campaign statement, begin with January 1 of the current calendar year.

The closing date of the statement depends on the type of statement you are filing.

Date of Election:

If you are filing this statement as a preelection statement in connection with an election, enter the date of the election.

Type of Recipient Committee:

Check one box to indicate the type of committee filing the statement. General descriptions are provided on the cover sheet to this form, or contact your filing officer or the FPPC for assistance. Following are some additional guidelines:

Controlled Committee

- A controlled committee is one that is controlled by a candidate, officeholder or, in the case of a state ballot measure committee, by the proponent of the measure. A committee is “controlled” if the candidate, officeholder, or proponent, his or her agent, or any other committee he or she controls, has a significant influence on the actions or decisions of the committee.

Sponsored Committees

- A sponsored committee is one that has a sponsor—a business entity, organization, union, or other entity—that meets certain criteria. Sponsored ballot measure committees and general purpose committees must include the name of the sponsor in the name of the committee.

Small Contributor Committees

- This term is significant only if the committee makes contributions to candidates running for elective state office.

Type of Statement:

Check the appropriate box(es) to indicate the type of statement you are filing (or amending).

Amendments: If you are filing an amendment to a previously filed statement, give a brief explanation of the amendment and list the schedules being amended. Include an amended summary page, if applicable. Be sure to enter the period covered of the statement you are amending.

Termination: A committee must continue filing campaign statements each year until it is eligible to terminate and files a Form 410 Termination.

Most officeholders must continue filing campaign statements until they have terminated all controlled committees and have left office.

Committee I.D. Number:

If the committee has not yet received an identification number from the Secretary of State, enter “Not Yet Received.” File Form 410 to obtain an I.D. Number.

Verification:

The statement must be signed by the committee treasurer or the assistant treasurer named on the committee’s Statement of Organization (Form 410). An officeholder, candidate, or state measure proponent who controls the committee must also sign the statement. If two or three officeholders, candidates, or proponents control the committee, each must sign the statement. If more than three control the committee, one may sign on behalf of the others.

Under certain circumstances, the responsible officer of a sponsoring organization must sign the statement.

Additional Important Information:

Refer to the FPPC Campaign Disclosure Manual for your type of committee for information about:

- When, where, and what type of statements the committee is required to file.
- Closing date of campaign statements.
- Sponsored committee criteria.
- Termination criteria.
- Recordkeeping requirements and prohibitions.

**Recipient Committee
Campaign Statement
Cover Page — Part 2**

5. Officeholder or Candidate Controlled Committee

NAME OF OFFICEHOLDER OR CANDIDATE

OFFICE SOUGHT OR HELD (INCLUDE LOCATION AND DISTRICT NUMBER IF APPLICABLE)

RESIDENTIAL/BUSINESS ADDRESS (NO. AND STREET) CITY STATE ZIP

Related Committees Not Included in this Statement: *List any committees not included in this statement that are controlled by you or are primarily formed to receive contributions or make expenditures on behalf of your candidacy.*

COMMITTEE NAME	I.D. NUMBER
NAME OF TREASURER	CONTROLLED COMMITTEE? YES NO

COMMITTEE ADDRESS STREET ADDRESS (NO P.O. BOX)

CITY STATE ZIP CODE AREA CODE/PHONE

COMMITTEE NAME	I.D. NUMBER
NAME OF TREASURER	CONTROLLED COMMITTEE? YES NO

COMMITTEE ADDRESS STREET ADDRESS (NO P.O. BOX)

CITY STATE ZIP CODE AREA CODE/PHONE

6. Primarily Formed Ballot Measure Committee

NAME OF BALLOT MEASURE

BALLOT NO. OR LETTER	JURISDICTION	SUPPORT OPPOSE
----------------------	--------------	-------------------

Identify the controlling officeholder, candidate, or state measure proponent, if any.

NAME OF OFFICEHOLDER, CANDIDATE, OR PROPONENT

OFFICE SOUGHT OR HELD	DISTRICT NO. IF ANY
-----------------------	---------------------

7. Primarily Formed Candidate/Officeholder Committee *List names of officeholder(s) or candidate(s) for which this committee is primarily formed.*

NAME OF OFFICEHOLDER OR CANDIDATE	OFFICE SOUGHT OR HELD	SUPPORT OPPOSE
NAME OF OFFICEHOLDER OR CANDIDATE	OFFICE SOUGHT OR HELD	SUPPORT OPPOSE
NAME OF OFFICEHOLDER OR CANDIDATE	OFFICE SOUGHT OR HELD	SUPPORT OPPOSE
NAME OF OFFICEHOLDER OR CANDIDATE	OFFICE SOUGHT OR HELD	SUPPORT OPPOSE

Attach continuation sheets if necessary

**Instructions for
Recipient Committee
Campaign Statement – Cover Page**

CALIFORNIA
FORM **460**

Officeholder or Candidate Controlled Committee:

Candidates must have a separate bank account and committee to run for different elective offices. A candidate who is required to file campaign statements in connection with more than one elective office but is only receiving contributions and making expenditures for one of the offices, may include both offices on one Form 460. In Part 5 of the cover page, enter the candidate's name and under "Office Sought or Held," identify each office, and state whether the candidate is seeking or holding the office. The Form 460 must be filed with the appropriate filing officer(s) for each office.

For example, a city councilmember is raising funds to run for the county board of supervisors. She has no committee and is not raising or spending funds in connection with the city office, and has formed a controlled committee for the county office. To comply with the requirements to file campaign statements for both her city office and her county candidacy, she may complete one Form 460 each campaign reporting period, which she will file with the city clerk and the county elections department. In Part 5 of the Form 460 Cover Page, under "Office Sought or Held," she will state that she is holding the office of city councilmember (including the name of the city) and that she is seeking a seat on the board of supervisors (including the name of the county).

Ballot Measure Committee:

Part 6 of the Form 460 Cover Page must be completed by committees that are primarily formed to support or oppose the qualification or passage of a single ballot measure or two or more measures being voted on in the same city, county, multicounty, or state election. A "general purpose" ballot measure committee (one that supports or opposes a variety of state and/or local ballot measures) is not required to complete Part 6.

Campaign Disclosure Statement Summary Page

Amounts may be rounded
to whole dollars.

SUMMARY PAGE

Statement covers period from _____ through _____	CALIFORNIA FORM 460
	Page _____ of _____
I.D. NUMBER _____	

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER _____

Contributions Received

	Column A TOTAL THIS PERIOD (FROM ATTACHED SCHEDULES)	Column B CALENDAR YEAR TOTAL TO DATE
1. Monetary Contributions..... <i>Schedule A, Line 3</i>	\$ _____	\$ _____
2. Loans Received..... <i>Schedule B, Line 3</i>	_____	_____
3. SUBTOTAL CASH CONTRIBUTIONS..... <i>Add Lines 1 + 2</i>	\$ _____	\$ _____
4. Nonmonetary Contributions..... <i>Schedule C, Line 3</i>	_____	_____
5. TOTAL CONTRIBUTIONS RECEIVED..... <i>Add Lines 3 + 4</i>	\$ _____	\$ _____

Calendar Year Summary for Candidates Running in Both the State Primary and General Elections

	1/1 through 6/30	7/1 to Date
20. Contributions Received	\$ _____	\$ _____
21. Expenditures Made	\$ _____	\$ _____

Expenditures Made

6. Payments Made..... <i>Schedule E, Line 4</i>	\$ _____	\$ _____
7. Loans Made..... <i>Schedule H, Line 3</i>	_____	_____
8. SUBTOTAL CASH PAYMENTS..... <i>Add Lines 6 + 7</i>	\$ _____	\$ _____
9. Accrued Expenses (Unpaid Bills)..... <i>Schedule F, Line 3</i>	_____	_____
10. Nonmonetary Adjustment..... <i>Schedule C, Line 3</i>	_____	_____
11. TOTAL EXPENDITURES MADE..... <i>Add Lines 8 + 9 + 10</i>	\$ _____	\$ _____

Expenditure Limit Summary for State Candidates

22. Cumulative Expenditures Made*
(If Subject to Voluntary Expenditure Limit)

Date of Election (mm/dd/yy)	Total to Date
____/____/____	\$ _____
____/____/____	\$ _____

Current Cash Statement

12. Beginning Cash Balance..... <i>Previous Summary Page, Line 16</i>	\$ _____
13. Cash Receipts..... <i>Column A, Line 3 above</i>	_____
14. Miscellaneous Increases to Cash..... <i>Schedule I, Line 4</i>	_____
15. Cash Payments..... <i>Column A, Line 8 above</i>	_____
16. ENDING CASH BALANCE..... <i>Add Lines 12 + 13 + 14, then subtract Line 15</i>	\$ _____

If this is a termination statement, Line 16 must be zero.

17. LOAN GUARANTEES RECEIVED..... <i>Schedule B, Part 2</i>	\$ _____
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Cash Equivalents and Outstanding Debts

18. Cash Equivalents..... <i>See instructions on reverse</i>	\$ _____
19. Outstanding Debts..... <i>Add Line 2 + Line 9 in Column B above</i>	\$ _____

To calculate Column B, add amounts in Column A to the corresponding amounts from Column B of your last report. Some amounts in Column A may be negative figures that should be subtracted from previous period amounts. If this is the first report being filed for this calendar year, only carry over the amounts from Lines 2, 7, and 9 (if any).

*Amounts in this section may be different from amounts reported in Column B.

Instructions for Summary Page Campaign Disclosure Statement

CALIFORNIA
FORM **460**

The Summary Page provides an overview of the committee's financial activities and is completed for each filing.

Column A reflects activities during the current reporting period as reported on Schedules A through H. It is not necessary to attach a blank schedule if there has been no reportable activity during the period, but it is necessary to enter a zero or the word "none" on the appropriate line in Column A of the Summary Page.

Column B figures should reflect the cumulative total since January 1 of the current calendar year.* Add the totals from Column B of the committee's last campaign statement (if any) to the corresponding amounts in Column A. If this is the first report being filed for a calendar year, only carry forward the amounts reported on Lines 2, 7, and 9 of Column B (if any) from the committee's last statement. (Note: The amounts reported on Lines 2, 7, and 9 of Column B should be the same as the total outstanding amounts disclosed in column (d) of Schedules B, F, and H, respectively, of the current report.)

When loans (Schedules B and H) and accrued expenses (Schedule F) are paid, the figures to be carried from the schedules to Lines 2, 7, and 9 of Column A may be negative numbers. In this case, be sure to show them as negative figures on the Summary Page (e.g., with a minus sign (-) or in parentheses), and subtract them when totaling Columns A and B.

*There are exceptions to the calendar year "cumulation period" for candidate elections and ballot measure elections held in January and early February, and for ballot measure qualification activities. Consult the FPPC Campaign Disclosure Manual for your type of committee for additional information.

Current Cash Statement:

Lines 12-16 of the Summary Page should accurately reflect your current cash position. Beginning and ending cash balances should include the total amount of funds in your campaign checking and savings accounts, plus any investments that can be readily converted to cash, such as certificates of deposit, money market accounts, stocks and bonds, etc. (Officeholders and candidates are subject to bank account restrictions, and all committees should read the FPPC Campaign Disclosure Manual regarding appropriate uses of campaign funds.)

Line 12 (Beginning Cash Balance) must be the same as the ending cash balance reported on Line 16 of your previous statement's Summary Page. If this is your first campaign statement, enter zero on Line 12.

Line 16 (Ending Cash Balance) is the total of Lines 12, 13, and 14, **minus** Line 15.

If you are filing a termination statement, Line 16 must be zero.

Cash Equivalents:

"Cash equivalents" include investments that cannot be readily converted to cash, as well as the balance due on all outstanding loans the committee has made to others (from Line 7 of Column B of the Summary Page). Investments that can be readily converted to cash, such as certificates of deposit or money market funds, should be included in the cash on hand figures on Lines 12 and 16 of the Summary Page.

Summary for Primary and General Elections (Lines 20 and 21):

This section is only for committees that are:

- Controlled by a candidate who is being voted on in both the state primary and general elections (does not apply to controlled ballot measure committees); or
- Primarily formed to support or oppose candidates being voted on in both the state primary and general elections.

Complete this summary on the preelection and semi-annual statements for the general election, covering periods during the last six months of the year (July 1 – December 31).

Expenditure Ceiling Summary for State Candidates (Line 22):

Candidates for elective state office who have accepted the voluntary expenditure ceiling for a particular election must disclose the total amount of expenditures made through the end of the reporting period that are subject to the expenditure ceiling for the election. Report the date of the election and total amount expended for that election. Report totals for the primary and general elections separately. This information is no longer required if the expenditure ceiling has been lifted. (See FPPC Campaign Disclosure Manual 1.)

Schedule A Monetary Contributions Received

Amounts may be rounded
to whole dollars.

SCHEDULE A

Statement covers period	CALIFORNIA FORM 460
from _____	
through _____	Page _____ of _____
I.D. NUMBER	

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

DATE RECEIVED	FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CONTRIBUTOR CODE *	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME)	AMOUNT RECEIVED THIS PERIOD	CUMULATIVE TO DATE CALENDAR YEAR (JAN. 1 - DEC. 31)	PER ELECTION TO DATE (IF REQUIRED)
		IND COM OTH PTY SCC				
		IND COM OTH PTY SCC				
		IND COM OTH PTY SCC				
		IND COM OTH PTY SCC				
		IND COM OTH PTY SCC				

SUBTOTAL \$

Schedule A Summary

- Amount received this period – itemized monetary contributions.
(Include all Schedule A subtotals.)\$ _____
- Amount received this period – unitemized monetary contributions of less than \$100\$ _____
- Total monetary contributions received this period.
(Add Lines 1 and 2. Enter here and on the Summary Page, Column A, Line 1.).....**TOTAL \$** _____

*Contributor Codes
 IND – Individual
 COM – Recipient Committee
 (other than PTY or SCC)
 OTH – Other (e.g., business entity)
 PTY – Political Party
 SCC – Small Contributor Committee

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.

SCHEDULE A (CONT.)

Statement covers period
from _____
through _____

**CALIFORNIA
FORM 460**

Page _____ of _____

NAME OF FILER

I.D. NUMBER

DATE RECEIVED	FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CONTRIBUTOR CODE *	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME)	AMOUNT RECEIVED THIS PERIOD	CUMULATIVE TO DATE CALENDAR YEAR (JAN. 1 - DEC. 31)	PER ELECTION TO DATE (IF REQUIRED)
		IND COM OTH PTY SCC				
		IND COM OTH PTY SCC				
		IND COM OTH PTY SCC				
		IND COM OTH PTY SCC				
		IND COM OTH PTY SCC				
SUBTOTAL \$						

*Contributor Codes
IND – Individual
COM – Recipient Committee
(other than PTY or SCC)
OTH – Other (e.g., business entity)
PTY – Political Party
SCC – Small Contributor Committee

Schedule B – Part 1 Loans Received

Amounts may be rounded
to whole dollars.

Statement covers period	CALIFORNIA FORM 460
from _____	
through _____	Page _____ of _____

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER _____

I.D. NUMBER _____

FULL NAME, STREET ADDRESS AND ZIP CODE OF LENDER (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	(a) OUTSTANDING BALANCE BEGINNING THIS PERIOD	(b) AMOUNT RECEIVED THIS PERIOD	(c) AMOUNT PAID OR FORGIVEN THIS PERIOD*		(d) OUTSTANDING BALANCE AT CLOSE OF THIS PERIOD	(e) INTEREST PAID THIS PERIOD	(f) ORIGINAL AMOUNT OF LOAN	(g) CUMULATIVE CONTRIBUTIONS TO DATE
				PAID	FORGIVEN				
† IND COM OTH PTY SCC		\$ _____	\$ _____	\$ _____	\$ _____	DATE DUE _____	_____% RATE	\$ _____ DATE INCURRED _____	CALENDAR YEAR \$ _____ PER ELECTION** \$ _____
† IND COM OTH PTY SCC		\$ _____	\$ _____	\$ _____	\$ _____	DATE DUE _____	_____% RATE	\$ _____ DATE INCURRED _____	CALENDAR YEAR \$ _____ PER ELECTION** \$ _____
† IND COM OTH PTY SCC		\$ _____	\$ _____	\$ _____	\$ _____	DATE DUE _____	_____% RATE	\$ _____ DATE INCURRED _____	CALENDAR YEAR \$ _____ PER ELECTION** \$ _____
SUBTOTALS \$									

(Enter (e) on Schedule E, Line 3)

Schedule B Summary

- Loans received this period \$ _____
(Total Column (b) plus unitemized loans of less than \$100.)
- 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.)
- Net change this period. (**Subtract** Line 2 from Line 1.) **NET \$** _____
Enter the net here and on the Summary Page, Column A, Line 2.

†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

(May be a negative number)

*Amounts forgiven or paid by another party also must be reported on Schedule A.

** If required.

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 _____	CALIFORNIA FORM 460
	Page _____ of _____

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER	I.D. NUMBER
---------------	-------------

FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CONTRIBUTOR CODE*	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	LOAN	AMOUNT GUARANTEED THIS PERIOD	CUMULATIVE TO DATE	BALANCE OUTSTANDING TO DATE
	IND COM OTH PTY SCC		LENDER DATE		CALENDAR YEAR \$ _____ PER ELECTION (IF REQUIRED) \$ _____	
	IND COM OTH PTY SCC		LENDER DATE		CALENDAR YEAR \$ _____ PER ELECTION (IF REQUIRED) \$ _____	
	IND COM OTH PTY SCC		LENDER DATE		CALENDAR YEAR \$ _____ PER ELECTION (IF REQUIRED) \$ _____	
	IND COM OTH PTY SCC		LENDER DATE		CALENDAR YEAR \$ _____ PER ELECTION (IF REQUIRED) \$ _____	

SUBTOTAL \$	Enter on Summary Page, Line 17 only.
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**Instructions for
Schedule B – Part 2
Loan Guarantors**

Guarantors of loans received or outstanding during the reporting period are reported on Schedule B – Part 2. A “guarantor” is a third party that co-signs, endorses, or provides security for a loan, or establishes or provides security for a line of credit. A guarantor is also making a contribution.

For each guarantor of \$100 or more, enter the name and address of the guarantor and, if the guarantor is an individual, his/her occupation and employer or, if self employed, the name of his/her business.

Enter the name of the lender or the entity at which a line of credit was established and the date of the loan or the date the line of credit was established.

Enter the amount guaranteed this period, if applicable. For lines of credit, enter the full amount established or secured by the guarantor during the period. (Report amounts **drawn** on a line of credit on Schedule B – Part 1.)

Enter the cumulative amount guaranteed during the calendar year covered by the statement. Candidates subject to state contribution limits (or if required by local ordinance) must disclose the cumulative amount received from each contributor during the limitation cycle in addition to the calendar year cumulative amount. (Candidates for elective state office should refer to FPPC Campaign Disclosure Manual 1.)

Report the outstanding balance for which the guarantor is liable at the close of this reporting period.

Loan guarantees are not included in the Schedule B Summary, but are carried forward in a lump sum to Line 17 of the Summary Page.

Schedule C Nonmonetary Contributions Received

Amounts may be rounded
to whole dollars.

SCHEDULE C

Statement covers period from _____ through _____	CALIFORNIA FORM 460
Page _____ of _____	I.D. NUMBER

SEE INSTRUCTIONS ON REVERSE
NAME OF FILER _____

DATE RECEIVED	FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CONTRIBUTOR CODE *	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	DESCRIPTION OF GOODS OR SERVICES	AMOUNT/ FAIR MARKET VALUE	CUMULATIVE TO DATE CALENDAR YEAR (JAN 1 - DEC 31)	PER ELECTION TO DATE (IF REQUIRED)
		IND COM OTH PTY SCC					
		IND COM OTH PTY SCC					
		IND COM OTH PTY SCC					
		IND COM OTH PTY SCC					
<i>Attach additional information on appropriately labeled continuation sheets.</i>					SUBTOTAL \$		

Schedule C Summary

- Amount received this period – itemized nonmonetary contributions.
(Include all Schedule C subtotals.).....\$ _____
- Amount received this period – unitemized nonmonetary contributions of less than \$100\$ _____
- Total nonmonetary contributions received this period.
(Add Lines 1 and 2. Enter here and on the Summary Page, Column A, Lines 4 and 10.).....**TOTAL \$** _____

*Contributor Codes
IND – Individual
COM – Recipient Committee
(other than PTY or SCC)
OTH – Other (e.g., business entity)
PTY – Political Party
SCC – Small Contributor Committee

Instructions for Schedule C Nonmonetary Contributions Received

Report the receipt of nonmonetary contributions on Schedule C.

Nonmonetary contributions include:

- Goods and services for which you have not paid the fair market value, including items donated for auctions or garage sales, such as artwork or furniture.
- A discount that is not available to the public generally.
- Salary payments made by an employer for an employee who spends 10% or more of his or her compensated time in a calendar month working for your committee.

Volunteer personal services and payments voluntarily made by a person for his or her own campaign-related travel expenses are not reportable. The occupant of a home or office can host a fundraiser without making a nonmonetary contribution as long as the total cost of the fundraiser is \$500 or less.

If a total of \$100 or more is received from a single contributor during a calendar year, report the name, street address, city, state and zip code of the contributor, the amount contributed this period, and the cumulative amount received from the contributor since January 1 of the current calendar year. Include monetary and nonmonetary contributions and loans when reporting the cumulative amount.

Contributions totaling less than \$100 received from a single contributor during a calendar year are reported as a lump sum on Line 2 of the Schedule C Summary.

Date Received:

A nonmonetary contribution has been received on the earlier of the following: 1) the date the contributor made an expenditure for goods or services at your behest (in consultation or coordination with you, or at your request or suggestion); or 2) the date you or your agent obtained possession or control of the goods or services.

Per Election to Date:

Candidates subject to state contribution limits (or if required by local ordinance) must disclose the cumulative amount received from each contributor during the limitation cycle in addition to the calendar year cumulative amount. (Candidates for elective state office should refer to FPPC Campaign Disclosure Manual 1.)

Fair Market Value:

The fair market value of a nonmonetary contribution is the amount it would cost to purchase the goods or services on the open market. The fair market value can be more than the amount it cost the contributor to provide the goods or services to you.

If you do not know the value of a nonmonetary contribution, you may request the contributor to provide you with a written statement of the value. If you make a request in writing and the value of the contribution is \$100 or more, the contributor is

required by law to provide the information.

Administrative Services:

Administrative overhead and start-up expenses paid by a sponsoring organization for its sponsored committee are not contributions to the committee but must be reported on Schedule C. Report the value of the services in the "Description of Goods or Services" column and a zero in the "Amount" and "Cumulative to Date" columns.

Nonmonetary Contributions as Expenditures:

The total of nonmonetary contributions is reported on the Summary Page as both contributions received and expenditures made. Enter the total on Line 3 of the Schedule C Summary on both Lines 4 and 10 of the Summary Page. (State Candidates: Most nonmonetary contributions also count for purposes of the voluntary expenditure limits.)

Additional Important Information:

Refer to the Instructions for Schedule A for important information about:

- Contributor codes
- Contributions from individuals
- Contributions from committees
- Intermediaries

Refer to the FPPC Campaign Disclosure Manual for your type of committee for important information about aggregating monetary and nonmonetary contributions, recordkeeping, and more.

**Schedule D
Summary of Expenditures
Supporting/Opposing Other
Candidates, Measures and Committees**

Amounts may be rounded
to whole dollars.

SCHEDULE D

Statement covers period from _____ through _____	CALIFORNIA FORM 460
Page _____ of _____	I.D. NUMBER

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

DATE	NAME OF CANDIDATE, OFFICE, AND DISTRICT, OR MEASURE NUMBER OR LETTER AND JURISDICTION, OR COMMITTEE	TYPE OF PAYMENT	DESCRIPTION (IF REQUIRED)	AMOUNT THIS PERIOD	CUMULATIVE TO DATE CALENDAR YEAR (JAN. 1 - DEC. 31)	PER ELECTION TO DATE (IF REQUIRED)
		Monetary Contribution Nonmonetary Contribution Independent Expenditure				
	Support Oppose					
		Monetary Contribution Nonmonetary Contribution Independent Expenditure				
	Support Oppose					
		Monetary Contribution Nonmonetary Contribution Independent Expenditure				
	Support Oppose					
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 ..** \$ _____

**Instructions for
Schedule D
Summary of Expenditures Supporting/Opposing Other
Candidates, Measures, and Committees**

Schedule D is a summary of payments reported on Schedules E, F, and H that are contributions or independent expenditures to support or oppose candidates and committees. These include:

- A direct monetary contribution or loan made to another candidate or committee.
- A payment made to a vendor for goods or services for a candidate or committee (a nonmonetary contribution).
- A donation to a candidate or committee of goods on hand, or the payment of salary or expenses for a campaign employee who spends 10% or more of his or her compensated time working for another candidate or committee.
- A payment made for a communication (e.g., a mailing, billboard, radio ad) that expressly advocates the election, passage or defeat of a clearly identified candidate or ballot measure, but the payment is **not** made to—or at the behest of—the candidate or a ballot measure committee. These payments are “independent expenditures” and may trigger additional reports for your committee.

If a total of \$100 or more is contributed or expended during a calendar year to support or oppose a single candidate, ballot measure, or a general purpose committee (e.g., a political party), disclose the name of the candidate and the office sought or held and the candidate’s district, if any, the number or letter and jurisdiction of the ballot measure, or the name of the general purpose committee. For each candidate or measure listed, indicate whether the payment was made to support or oppose the candidate or measure. For example,

if you made a contribution to the Committee Against Measure A, check the “Oppose” box.

Disclose the date(s) and amount(s) of contributions or independent expenditures made this period relative to each candidate, measure, or committee, and the cumulative amount contributed or paid to date relative to the candidate, measure, or committee since January 1 of the current calendar year. Cumulate contributions and independent expenditures separately.

Contributions and expenditures of less than \$100 to support or oppose a single candidate or measure during a calendar year are totaled and reported as a lump sum on Line 2 of the Schedule D Summary.

Per Election to Date:

If a contribution is made to a candidate that is subject to state contribution limits (or if required by local ordinance), disclose the total amount contributed to the committee in connection with each limitation cycle and identify the election year. The primary and general elections are separate elections. For example, a \$4,200 contribution to a candidate for the primary election in 2016 would be disclosed as “\$4,200 P-16.”

“Per Election to Date” Column	
Limitation Cycle	Year of Election
Primary P	2016 16
General G	2017 17
Special S	2018 18
Runoff R	2019 19

Description:

If you contributed goods on hand to another candidate or committee (e.g., office supplies), describe the goods or services in the “Description” column and disclose the fair market value of the contribution. The fair market value is the amount it would cost the recipient to purchase the goods or services. Because payments must be described when they are reported on Schedules E and F, you need not provide a description on Schedule D for payments reported on Schedules E or F that are nonmonetary contributions or independent expenditures.

Date of Contribution or Expenditure:

A monetary contribution is made on the date it is mailed, delivered, or otherwise transmitted it to the candidate or committee. A nonmonetary contribution is made on the earlier of the following: 1) the date you made an expenditure for goods or services at the behest of the candidate or committee; or 2) the date the candidate or committee obtained possession or control of the goods or services.

Additional Important Information:

Refer to the FPPC Campaign Disclosure Manual for your type of committee for important information about recordkeeping, prohibitions on cash payments, restrictions on the use of campaign funds, and more.

**Schedule D
(Continuation Sheet)
Summary of Expenditures
Supporting/Opposing Other
Candidates, Measures and Committees**

Amounts may be rounded
to whole dollars.

SCHEDULE D (CONT.)

Statement covers period from _____ through _____	CALIFORNIA FORM 460
	Page _____ of _____
I.D. NUMBER	

NAME OF FILER _____

DATE	NAME OF CANDIDATE, OFFICE, AND DISTRICT, OR MEASURE NUMBER OR LETTER AND JURISDICTION, OR COMMITTEE	TYPE OF PAYMENT	DESCRIPTION (IF REQUIRED)	AMOUNT THIS PERIOD	CUMULATIVE TO DATE CALENDAR YEAR (JAN. 1 - DEC. 31)	PER ELECTION TO DATE (IF REQUIRED)
		Monetary Contribution Nonmonetary Contribution Independent Expenditure				
	Support Oppose					
		Monetary Contribution Nonmonetary Contribution Independent Expenditure				
	Support Oppose					
		Monetary Contribution Nonmonetary Contribution Independent Expenditure				
	Support Oppose					
		Monetary Contribution Nonmonetary Contribution Independent Expenditure				
	Support Oppose					
SUBTOTAL \$						

Schedule E Payments Made

Amounts may be rounded
to whole dollars.

Statement covers period		CALIFORNIA FORM 460
from _____	through _____	
Page _____ of _____		I.D. NUMBER

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.

- | | | |
|---|---|---|
| CMP campaign paraphernalia/misc. | MBR member communications | RAD radio airtime and production costs |
| CNS campaign consultants | MTG meetings and appearances | RFD returned contributions |
| CTB contribution (explain nonmonetary)* | OFC office expenses | SAL campaign workers' salaries |
| CVC civic donations | PET petition circulating | TEL t.v. or cable airtime and production costs |
| FIL candidate filing/ballot fees | PHO phone banks | TRC candidate travel, lodging, and meals |
| FND fundraising events | POL polling and survey research | TRS staff/spouse travel, lodging, and meals |
| IND independent expenditure supporting/opposing others (explain)* | POS postage, delivery and messenger services | TSF transfer between committees of the same candidate/sponsor |
| LEG legal defense | PRO professional services (legal, accounting) | VOT voter registration |
| LIT campaign literature and mailings | PRT print ads | WEB information technology costs (internet, e-mail) |

NAME AND ADDRESS OF PAYEE (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CODE	OR	DESCRIPTION OF PAYMENT	AMOUNT PAID

* Payments that are contributions or independent expenditures must also be summarized on Schedule D.

SUBTOTAL \$

Schedule E Summary

- Itemized payments made this period. (Include all Schedule E subtotals.)..... \$ _____
- Unitemized payments made this period of under \$100..... \$ _____
- Total interest paid this period on loans. (Enter amount from Schedule B, Part 1, Column (e).)..... \$ _____
- Total payments made this period. (Add Lines 1, 2, and 3. Enter here and on the Summary Page, Column A, Line 6.)..... **TOTAL \$** _____

Instructions for Schedule E Payments Made

CALIFORNIA
FORM **460**

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**

Amounts may be rounded
to whole dollars.

SCHEDULE E (CONT.)

Statement covers period from _____ through _____	CALIFORNIA FORM 460
Page _____ of _____	I.D. NUMBER

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.

- | | | |
|---|---|---|
| CMP campaign paraphernalia/misc. | MBR member communications | RAD radio airtime and production costs |
| CNS campaign consultants | MTG meetings and appearances | RFD returned contributions |
| CTB contribution (explain nonmonetary)* | OFC office expenses | SAL campaign workers' salaries |
| CVC civic donations | PET petition circulating | TEL t.v. or cable airtime and production costs |
| FIL candidate filing/ballot fees | PHO phone banks | TRC candidate travel, lodging, and meals |
| FND fundraising events | POL polling and survey research | TRS staff/spouse travel, lodging, and meals |
| IND independent expenditure supporting/opposing others (explain)* | POS postage, delivery and messenger services | TSF transfer between committees of the same candidate/sponsor |
| LEG legal defense | PRO professional services (legal, accounting) | VOT voter registration |
| LIT campaign literature and mailings | PRT print ads | WEB information technology costs (internet, e-mail) |

NAME AND ADDRESS OF PAYEE (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CODE	OR	DESCRIPTION OF PAYMENT	AMOUNT PAID

* Payments that are contributions or independent expenditures must also be summarized on Schedule D.

SUBTOTAL \$

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 committee that received the nonmonetary contribution in the "Description of Payment" column.*

CVC: Civic donations. Donations to civic, nonprofit or education organizations; payments for community events.

FIL: Candidate Filing/Ballot Fees. Payments to election officials for candidate filing fees and fees charged for publication of a ballot statement.

FND: Fundraising events. Expenditures associated with holding a fundraising event, including payments for event space to hotels or halls, payments for food and beverages to restaurants, caterers and other vendors, and payments for speakers, entertainment, and decorations. Includes costs of house parties. (Use "LIT" for costs of invitations, brochures, and solicitations associated with fundraising events.)

IND: Independent expenditures. Payments for communications that support/oppose other candidates or measures that are not made in consultation or coordination with the candidates or a ballot measure committee. Use "IND" and, if one of the other codes accurately describes

the independent expenditure, you may enter that code also. Otherwise, describe the payment. Also provide the name of the candidate or ballot measure supported or opposed by the expenditure.*

LEG: Legal Defense. Attorney or other fees paid for legal defense.

LIT: Campaign literature and mailings. Preparation, production, and distribution of campaign literature, direct mail pieces, fundraising solicitations, and door hangers. Includes costs of mailing lists, design/graphics, copy and layout, printing and photocopying. Includes payments to be on a slate mailer, and for absentee ballot mailers.

MBR: Member Communications. Payments for communications to members, employees, or shareholders of an organization, or their family members, for the purpose of supporting or opposing a candidate or ballot measure.

MTG: Meetings and appearances. Costs associated with meetings, press conferences, town halls, constituent meetings, etc.

OFC: Office expenses. Expenditures for office rent; utilities (including cellular phone service); purchase or rental of office equipment (computer, fax, photocopier, etc.) and furniture; office supplies, etc.

PET: Petition circulating. Includes payments for printing petitions and payments to signature gathering firms for ballot measure qualification drives.

PHO: Phone banks. Costs of phone banks.

POL: Polling and survey research. Costs of designing and conducting polls, reports on election trends, voter surveys, etc.

POS: Postage, delivery and messenger services. Includes U.S. Postal Service, Federal Express, United Parcel Service, and other delivery and courier services.

PRO: Professional services. Includes legal, accounting, and bookkeeping services.

PRT: Print space and production costs. Includes advertising space in newspapers, magazines and other publications, and billboard ads.

RAD: Radio airtime and production costs.

RFD: Returned contributions.

SAL: Campaign workers salaries. Includes state and federal payroll taxes.

TEL: Television or cable airtime and video production costs.

TRC: Candidate travel. Payments or reimbursements for travel, lodging, and meals of a candidate.

TRS: Staff/spouse travel. Payments or reimbursements for travel, lodging, and meals of a candidate's representative (staff), or member of the candidate's household.

TSF: Transfers. Only use this code to report the transfer of funds to another authorized committee of the same candidate or sponsoring organization. Report funds this committee gives to other committees on Schedule E, as contributions ("CTB") to those committees, not as transfers.

VOT: Voter registration costs.

WEB: Information technology costs. Includes payments for website design, e-mail, internet access, production of website and e-mail advertising.

***Payments that are contributions or independent expenditures to support or oppose other candidates, measures, and committees must also be summarized on Schedule D.**

**Schedule F
Accrued Expenses (Unpaid Bills)**

Amounts may be rounded to whole dollars.

Statement covers period from _____ through _____	CALIFORNIA FORM 460
	Page _____ of _____
I.D. NUMBER _____	

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.

- | | | |
|---|---|---|
| CMP campaign paraphernalia/misc. | MBR member communications | RAD radio airtime and production costs |
| CNS campaign consultants | MTG meetings and appearances | RFD returned contributions |
| CTB contribution (explain nonmonetary)* | OFC office expenses | SAL campaign workers' salaries |
| CVC civic donations | PET petition circulating | TEL t.v. or cable airtime and production costs |
| FIL candidate filing/ballot fees | PHO phone banks | TRC candidate travel, lodging, and meals |
| FND fundraising events | POL polling and survey research | TRS staff/spouse travel, lodging, and meals |
| IND independent expenditure supporting/opposing others (explain)* | POS postage, delivery and messenger services | TSF transfer between committees of the same candidate/sponsor |
| LEG legal defense | PRO professional services (legal, accounting) | VOT voter registration |
| LIT campaign literature and mailings | PRT print ads | WEB information technology costs (internet, e-mail) |

NAME AND ADDRESS OF CREDITOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CODE OR DESCRIPTION OF PAYMENT	(a) OUTSTANDING BALANCE BEGINNING OF THIS PERIOD	(b) AMOUNT INCURRED THIS PERIOD	(c) AMOUNT PAID THIS PERIOD (ALSO REPORT ON E)	(d) OUTSTANDING BALANCE AT CLOSE OF THIS PERIOD

* Payments that are contributions or independent expenditures must also be summarized on Schedule D.

SUBTOTALS \$ _____ \$ _____ \$ _____ \$ _____

Schedule F Summary

- 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 \$ _____**
- 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 \$ _____**
- Net change this period. (**Subtract** Line 2 from Line 1. Enter the difference here and on the Summary Page, Column A, Line 9.) **NET \$ _____**

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)**

Amounts may be rounded
to whole dollars.

Statement covers period	CALIFORNIA FORM 460
from _____	
through _____	Page _____ of _____
NAME OF FILER	
I.D. NUMBER	

CODES: If one of the following codes accurately describes the payment, you may enter the code. Otherwise, describe the payment.

- | | | |
|---|---|---|
| CMP campaign paraphernalia/misc. | MBR member communications | RAD radio airtime and production costs |
| CNS campaign consultants | MTG meetings and appearances | RFD returned contributions |
| CTB contribution (explain nonmonetary)* | OFC office expenses | SAL campaign workers' salaries |
| CVC civic donations | PET petition circulating | TEL t.v. or cable airtime and production costs |
| FIL candidate filing/ballot fees | PHO phone banks | TRC candidate travel, lodging, and meals |
| FND fundraising events | POL polling and survey research | TRS staff/spouse travel, lodging, and meals |
| IND independent expenditure supporting/opposing others (explain)* | POS postage, delivery and messenger services | TSF transfer between committees of the same candidate/sponsor |
| LEG legal defense | PRO professional services (legal, accounting) | VOT voter registration |
| LIT campaign literature and mailings | PRT print ads | WEB information technology costs (internet, e-mail) |

* Payments that are contributions or independent expenditures must also be summarized on Schedule D.

NAME AND ADDRESS OF CREDITOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CODE OR DESCRIPTION OF PAYMENT	(a) OUTSTANDING BALANCE BEGINNING OF THIS PERIOD	(b) AMOUNT INCURRED THIS PERIOD	(c) AMOUNT PAID THIS PERIOD (ALSO REPORT ON E)	(d) OUTSTANDING BALANCE AT CLOSE OF THIS PERIOD
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		CALIFORNIA FORM 460
from _____	through _____	
Page _____ of _____		I.D. NUMBER

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

NAME OF AGENT OR INDEPENDENT CONTRACTOR

CODES: If one of the following codes accurately describes the payment, you may enter the code. Otherwise, describe the payment.

- | | | |
|---|---|---|
| CMP campaign paraphernalia/misc. | MBR member communications | RAD radio airtime and production costs |
| CNS campaign consultants | MTG meetings and appearances | RFD returned contributions |
| CTB contribution (explain nonmonetary)* | OFC office expenses | SAL campaign workers' salaries |
| CVC civic donations | PET petition circulating | TEL t.v. or cable airtime and production costs |
| FIL candidate filing/ballot fees | PHO phone banks | TRC candidate travel, lodging, and meals |
| FND fundraising events | POL polling and survey research | TRS staff/spouse travel, lodging, and meals |
| IND independent expenditure supporting/opposing others (explain)* | POS postage, delivery and messenger services | TSF transfer between committees of the same candidate/sponsor |
| LEG legal defense | PRO professional services (legal, accounting) | VOT voter registration |
| LIT campaign literature and mailings | PRT print ads | WEB information technology costs (internet, e-mail) |

* Payments that are contributions or independent expenditures must also be summarized on Schedule D.

NAME AND ADDRESS OF PAYEE OR CREDITOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CODE	OR	DESCRIPTION OF PAYMENT	AMOUNT PAID

Attach additional information on appropriately labeled continuation sheets.

TOTAL* \$

* 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 _____	CALIFORNIA FORM 460
Page _____ of _____	I.D. NUMBER _____

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER _____

FULL NAME, STREET ADDRESS AND ZIP CODE OF RECIPIENT <small>(IF COMMITTEE, ALSO ENTER I.D. NUMBER)</small>	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER <small>(IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)</small>	(a) OUTSTANDING BALANCE BEGINNING THIS PERIOD	(b) AMOUNT LOANED THIS PERIOD	(c) REPAYMENT OR FORGIVENESS THIS PERIOD*	(d) OUTSTANDING BALANCE AT CLOSE OF THIS PERIOD	(e) INTEREST RECEIVED	(f) ORIGINAL AMOUNT OF LOAN	(g) CUMULATIVE LOANS TO DATE
		\$ _____	\$ _____	PAID \$ _____ FORGIVEN \$ _____	\$ _____ _____ DATE DUE	_____% RATE \$ _____	\$ _____ _____ DATE INCURRED	CALENDAR YEAR \$ _____ PER ELECTION** \$ _____
		\$ _____	\$ _____	PAID \$ _____ FORGIVEN \$ _____	\$ _____ _____ DATE DUE	_____% RATE \$ _____	\$ _____ _____ DATE INCURRED	CALENDAR YEAR \$ _____ PER ELECTION** \$ _____
		SUBTOTALS	\$	\$	\$	\$		

*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.

(Enter (e) on
Schedule I, Line 3)

Schedule H Summary

1. Loans made this period.....\$ _____
(Total Column (b) plus unitemized loans of less than \$100.)
2. Payments received on loans.....\$ _____
(Total Column (c) plus unitemized payments of less than \$100.)
3. Net change this period. **(Subtract Line 2 from Line 1.)**.....**NET \$** _____
(Enter the net here and on the Summary Page, Column A, Line 7.)

**If Required

(May be a negative number)

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.

**Schedule I
Miscellaneous Increases to Cash**

Amounts may be rounded
to whole dollars.

SCHEDULE I

Statement covers period
from _____
through _____

CALIFORNIA FORM 460
Page _____ of _____

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER _____

I.D. NUMBER _____

DATE RECEIVED	FULL NAME AND ADDRESS OF SOURCE (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	DESCRIPTION OF RECEIPT	AMOUNT OF INCREASE TO CASH

Attach additional information on appropriately labeled continuation sheets.

SUBTOTAL \$ _____

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**

Date of election if applicable: (Month, Day, Year) _____	<input type="checkbox"/> Amendment (Explain Below) _____ _____	Date Stamp	CALIFORNIA FORM 470 <small>For Official Use Only</small>
---	---	------------	--

1. Statement Covers Calendar Year 20 _____ .

2. Officeholder or Candidate Information

NAME OF OFFICEHOLDER OR CANDIDATE

STREET ADDRESS

CITY _____ STATE _____ ZIP CODE _____

AREA CODE/DAYTIME PHONE NUMBER _____ OPTIONAL: FAX / E-MAIL ADDRESS _____

3. Office Sought or Held

OFFICE SOUGHT OR HELD

JURISDICTION (LOCATION)

DISTRICT NUMBER
(IF APPLICABLE)

4. Committee Information

List all committees of which you have knowledge that are primarily formed to receive contributions or to make expenditures on behalf of your candidacy.

COMMITTEE NAME AND I.D. NUMBER	COMMITTEE ADDRESS	NAME OF TREASURER

5. Verification

I declare under penalty of perjury that to the best of my knowledge I anticipate that I will receive less than \$2,000 and that I will spend less than \$2,000 during the calendar year and that I have used all reasonable diligence in preparing this statement. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on _____
DATE

By _____
SIGNATURE OF OFFICEHOLDER OR CANDIDATE

Officeholder and Candidate Campaign Statement — Short Form - AND - Form 470 Supplement

CALIFORNIA
FORM

470

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 -
Form 470 Supplement**

SEE INSTRUCTIONS ON REVERSE

<input type="checkbox"/> Amendment (Explain Below) _____ _____

Date Stamp

CALIFORNIA FORM 470
For Official Use Only

This form is written notification that the officeholder/candidate listed below has received contributions totaling \$2,000 or more or has made expenditures of \$2,000 or more during the calendar year.

1. Officeholder or Candidate Information

NAME OF OFFICEHOLDER OR CANDIDATE			
STREET ADDRESS			
CITY	STATE	ZIP CODE	
AREA CODE/DAYTIME PHONE NUMBER	OPTIONAL: FAX / E-MAIL ADDRESS		

2. Office Sought

OFFICE SOUGHT	DISTRICT NUMBER (IF APPLICABLE)
DATE OF ELECTION (MONTH, DAY, YEAR)	

3. Date Contributions Totaling \$2,000 or More Were Received or Date Expenditures of \$2,000 or More Were Made

(MONTH, DAY, YEAR)

Instructions for Completing Form 470 Supplement

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.

What is an “independent expenditure”?

An “independent expenditure” is an expenditure made in connection with a communication (e.g., a billboard, advertisement, or mailing) that expressly advocates the election or defeat of a clearly identified candidate or the qualification, passage, or defeat of a clearly identified measure.¹ An independent expenditure is a payment that is not made to—or at the behest of—the affected candidate or committee.

Independent Expenditures in Connection with State Elections – When and Where to File a Form 496

When: A Form 496 is due within **24 hours** when:

- Independent expenditures that total in the aggregate \$1,000 or more are made to support or oppose a single state candidate or a single state ballot measure in the 90 days before or on the date of the candidate’s or measure’s election.

A Form 496 is due within **10 business days** when:

- A recipient committee that is required to file electronically with the Secretary of State makes independent expenditures totaling \$5,000 or more to support or oppose the qualification or passage of a single state ballot measure outside the **90-day** election cycle.

Where: File Form 496 electronically with the Secretary of State. No paper copies are required and no copies are required to be filed with other filing officers.

A committee that makes independent expenditures in connection with a CalPERS or CalSTRS election must also file a copy with the relevant board’s office.

Independent Expenditures in Connection with Local Elections – When and Where to File a Form 496

When: A Form 496 is due within **24 hours** when:

- Independent expenditures that total in the aggregate \$1,000 or more are made to support or oppose a single local candidate or a single local ballot measure in the 90 days before or on the date of the candidate’s or measure’s election.

A Form 496 is due within **10 business days** when:

- A recipient committee makes independent expenditures totaling \$5,000 or more to support or oppose the **qualification** of a single local ballot measure.

Where: File Form 496 by fax, guaranteed overnight delivery, personal delivery or email with the filing officer(s) who would receive your campaign statements if you were a committee primarily formed to support or oppose the candidate or ballot measure supported or opposed by the independent expenditure. In most cases this is the filing officer with whom the candidate or ballot measure committee files. Regular mail may not be used. A local ordinance may also require this form to be filed electronically.

Other Important Information

- **Candidates:** Form 496 is not required for expenditures supporting your election that are made from your committee, including expenditures opposing an opponent.
- **Ballot Measure Committees:** A primarily formed ballot measure committee does not file Form 496 for expenditures made in support of its campaign.
- All independent expenditures reported on Form 496 must also be reported on subsequent campaign reports (i.e., Forms 460, 450 or 461).

- **Form 462 - Verification of Independent Expenditures** is also required to be filed when an independent expenditure that totals in the aggregate \$1,000 or more is made. The principal officer, or in the case of a controlled committee, the candidate or state measure proponent who controls the committee, must verify that he/she has not received any unreported money or reimbursement to make the independent expenditures and has not coordinated with the candidate or the opponent of the candidate or the proponent or the opponent of the state measure that is the subject of the expenditure. Form 462 must be filed with the Fair Political Practices Commission.
- **CalPERS and CalSTRS Candidates:** The date of the election is the deadline to return ballots.

Reporting Examples

- A state general purpose committee makes an independent expenditure by paying for an advertisement opposing two city council candidates. The ad costs \$4,000 and features the candidates equally. The committee must file a separate Form 496 with the city clerk’s office for each candidate within 24 hours and disclose \$2,000 for each candidate.
- A committee makes a \$500 independent expenditure to support a candidate 60 days before the candidate’s election and a second independent expenditure for the same candidate of \$600, 20 days before the election. A Form 496 is required 24 hours after the second independent expenditure.

¹ A measure includes certain LAFCO proceedings.

496 24-hour/10-day Independent Expenditure Report Instructions

CALIFORNIA
FORM 496

How to Complete Form 496

Report Number: Provide a unique identifying number on each Form 496 filed. Amendments to a report must show the original report identification number and state the reason for the amendment.

Part 1. Candidate or Measure: Identify the candidate or ballot measure supported or opposed. Include the candidate's district number (if any) or the letter or number of the ballot measure and its jurisdiction. Use a separate form for each candidate or measure. For independent expenditures supporting or opposing the qualification of a local measure, identify the measure's name or subject matter.

Part 2. Independent Expenditures Made: Provide the date and in the description field, a description of the expenditure (e.g., radio advertisement, billboard, mailing) and the cumulative-to-date total for that candidate or measure in connection with the election. When filing an amendment, ensure that the cumulative-to-date total is accurate on the most recently filed Form 496. It is not necessary to amend the cumulative-to-date total on previous reports. In the amount field, list the amount of the specific expenditure disclosed in the description field.

Note: The cumulative-to-date total is not required when filing a 10-day \$5,000 ballot measure report outside of the 90-day election cycle.

Part 3. Contributions Received: Disclose contributions of \$100 or more received since the closing date of the last campaign statement filed (Form 450 or 460) through the date of the independent expenditure. Start with January 1 if no statement has been filed. Disclose the name and 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 contributor is self-employed, disclose the name of the business. Include the date and amount of the contribution, the contributor code, and type of contribution. Enter the interest rate if the contribution is a loan.

Except for contributions reported on a Form 496 related to the *qualification* of a local ballot measure, once a contribution has been reported on Form 496, it is not necessary to report that contribution on any additional Form 496 filings.

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 82031, 82036.5, 84204, 84204.5, 84213, 84215 and 85500 and FPPC Regulation 18550

496 Independent Expenditure Report

Amounts may be rounded to whole dollars.

NAME OF FILER		Date of This Filing _____	Date Stamp	CALIFORNIA FORM 496 For Official Use Only
AREA CODE/PHONE NUMBER	I.D. NUMBER <i>(if applicable)</i>	Report No. _____		
STREET ADDRESS				
CITY	STATE	ZIP CODE		
		Amendment to Report No. _____ <i>(explain below)</i>		
		No. of Pages _____		

1. List Only One Candidate or Ballot Measure

NAME OF CANDIDATE SUPPORTED OR OPPOSED				NAME OF BALLOT MEASURE SUPPORTED OR OPPOSED			
OFFICE SOUGHT OR HELD	DISTRICT NO.	SUPPORT	OPPOSE	BALLOT NO./LETTER	JURISDICTION	SUPPORT	OPPOSE

2. Independent Expenditures Made *Attach additional information on appropriately labeled continuation sheets.*

DATE	DESCRIPTION OF EXPENDITURE	AMOUNT

Reason for Amendment _____

496 Independent Expenditure Report

CALIFORNIA FORM 496

NAME OF FILER

I.D. NUMBER (if applicable)

3. Contributions of \$100 or More Received*

DATE RECEIVED	FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CONTRIBUTOR CODE**	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	AMOUNT RECEIVED	INTEREST RATES
		IND COM OTH PTY SCC			If loan, enter interest rate, if any _____ %
		IND COM OTH PTY SCC			If loan, enter interest rate, if any _____ %
		IND COM OTH PTY SCC			If loan, enter interest rate, if any _____ %
		IND COM OTH PTY SCC			If loan, enter interest rate, if any _____ %
		IND COM OTH PTY SCC			If loan, enter interest rate, if any _____ %
		IND COM OTH PTY SCC			If loan, enter interest rate, if any _____ %

*Major donor and independent expenditure committees that do not receive contributions are not required to complete Part 3.

**** 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

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.

497 24-hour/10-day Contribution Report Instructions

Local Committees – When a Form 497 is Required

Local committees must file a Form 497 when:

- Contributions that total in the aggregate \$1,000 or more are either:
 - made to a candidate or a primarily formed committee to support or oppose a candidate or ballot measure in the 90 days before or on the date of an election; or
 - received by a candidate or a primarily formed committee to support or oppose a candidate or ballot measure in the 90 days before or on the date of an election.
- Contributions that total in the aggregate \$1,000 or more are made to a state or county political party committee in the 90 days before or on the date of **any** state election.
- Contributions that total in the aggregate \$1,000 or more are made to a candidate in a CalPERS or CalSTRS election in the 90 days before or on the date of the election.
- Contributions totaling \$5,000 or more are made by a recipient committee to support or oppose the **qualification** of a single **local** ballot measure.
 - Complete Parts 1 and 2 of this form
 - Not required to be filed by a committee primarily formed to support or oppose the measure
 - Note special filing location below*

Local Committees – Where to File

Local committees file Form 497 at the same location(s) it regularly files campaign statements.

*For contributions related to the qualification of local measures, the Form 497 must be filed in the place(s) a primarily formed committee for the local measure is required to file.

Regular mail may not be used. The Form 497 must be filed by fax, guaranteed overnight delivery, personal delivery or email. Some jurisdictions require electronic submissions. Check with the local elections office.

497 Contribution Report

Amounts may be rounded to whole dollars.

NAME OF FILER _____		Date of This Filing _____	Date Stamp _____	CALIFORNIA FORM 497 For Official Use Only
AREA CODE/PHONE NUMBER _____	I.D. NUMBER <i>(if applicable)</i> _____	Report No. _____		
STREET ADDRESS _____		Amendment to Report No. _____ <i>(explain below)</i>		
CITY _____	STATE _____	ZIP CODE _____	No. of Pages _____	

1. Contribution(s) Received

DATE RECEIVED	FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR <small>(IF COMMITTEE, ALSO ENTER I.D. NUMBER)</small>	CONTRIBUTOR CODE*	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER <small>(IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)</small>	AMOUNT RECEIVED
		IND COM OTH PTY SCC		Check if Loan _____% <small>Provide interest rate</small>
		IND COM OTH PTY SCC		Check if Loan _____% <small>Provide interest rate</small>
		IND COM OTH PTY SCC		Check if Loan _____% <small>Provide interest rate</small>

Reason for Amendment: _____

* Contributor Codes
 IND - Individual
 COM - Recipient Committee (other than PTY or SCC)
 OTH - Other (e.g., business entity)
 PTY - Political Party
 SCC - Small Contributor Committee

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

497 Contribution Report

Amounts may be rounded to whole dollars.

NAME OF FILER		Date of This Filing _____	Date Stamp	CALIFORNIA FORM 497
AREA CODE/PHONE NUMBER	I.D. NUMBER (if applicable)	Report No. _____		
STREET ADDRESS		Amendment to Report No. _____ (explain below)		
CITY	STATE	ZIP CODE		

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: _____

2019-2020 Statement of Economic Interests



Form 700

A Public Document

Table of Contents

Quick Start Guide	p.2
Who? Where? How? When?	p.3
Types of Statements	p.4
Cover Page and Schedules	
Cover Page	p.5
Schedule A-1 (<i>Investments</i>)	p.7
Schedule A-2 (<i>Business Entities/Trusts</i>)	p.9
Schedule B (<i>Real Property</i>)	p.11
Schedule C (<i>Income</i>)	p.13
Schedule D (<i>Gifts</i>)	p.15
Schedule E (<i>Travel Payments</i>)	p.17
Restrictions and Prohibitions	p.19
Q & A	p.20

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

Quick Start Guide

Detailed instructions begin on page 3.

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!

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

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

QUESTIONS?

- advice@fppc.ca.gov
- (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.

COVER PAGE

A PUBLIC DOCUMENT

Please type or print in ink.

NAME OF FILER (LAST) (FIRST) (MIDDLE)

1. Office, Agency, or Court

Agency Name (Do not use acronyms)

Division, Board, Department, District, if applicable Your Position

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

Agency: Position:

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

- State Judge, Retired Judge, Pro Tem Judge, or Court Commissioner (Statewide Jurisdiction)
- Multi-County County of
- City of Other

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

- Annual: The period covered is January 1, 2019, through December 31, 2019. Leaving Office: Date Left ____/____/____ (Check one circle.)
- or- The period covered is ____/____/____, through December 31, 2019. The period covered is January 1, 2019, through the date of leaving office.
- Assuming Office: Date assumed ____/____/____ -or- The period covered is ____/____/____, through the date of leaving office.
- Candidate: Date of Election ____ and office sought, if different than Part 1: _____

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

Schedules attached

- Schedule A-1 - Investments – schedule attached Schedule C - Income, Loans, & Business Positions – schedule attached
- Schedule A-2 - Investments – schedule attached Schedule D - Income – Gifts – schedule attached
- Schedule B - Real Property – 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.)

Instructions Cover Page

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

Part 1. Office, Agency, or Court

- Enter the name of the office sought or held, or the agency or court. Consultants must enter the public agency name rather than their private firm's name. (Examples: State Assembly; Board of Supervisors; Office of the Mayor; Department of Finance; Hope County Superior Court)
- Indicate the name of your division, board, or district, if applicable. (Examples: Division of Waste Management; Board of Accountancy; District 45). **Do not use acronyms.**
- Enter your position title. (Examples: Director; Chief Counsel; City Council Member; Staff Services Analyst)
- If you hold multiple positions (i.e., a city council member who also is a member of a county board or commission), you may be required to file 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.

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

Part 3. Type of Statement

Check at least one box. The period covered by a statement is determined by the type of statement you are filing. If you are completing a 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 _____

▶ 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
 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
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:
 _____/_____/19 _____/_____/19
 ACQUIRED DISPOSED

Comments: _____

Instructions – Schedules A-1 and A-2 Investments

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

Reportable investments include:

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

You are not required to disclose:

- Government bonds, diversified mutual funds, certain funds similar to diversified mutual funds (such as exchange traded funds) and investments held in certain retirement accounts. (See Reference Pamphlet, page 13.) (Regulation 18237)
- Bank accounts, savings accounts, money market accounts and certificates of deposits
- 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)

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name _____

▶ 1. BUSINESS ENTITY OR TRUST

Name _____

Address (Business Address Acceptable) _____

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

GENERAL DESCRIPTION OF THIS BUSINESS _____

<p>FAIR MARKET VALUE</p> <input type="checkbox"/> \$0 - \$1,999 <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	<p>IF APPLICABLE, LIST DATE:</p> <p style="text-align: center;">____/____/19 ____/____/19</p> <p style="text-align: center;">ACQUIRED DISPOSED</p>
--	--

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)

<input type="checkbox"/> \$0 - \$499	<input type="checkbox"/> \$10,001 - \$100,000
<input type="checkbox"/> \$500 - \$1,000	<input type="checkbox"/> OVER \$100,000
<input type="checkbox"/> \$1,001 - \$10,000	

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

None or Names listed below

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

Check one box:
 INVESTMENT REAL PROPERTY

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

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

<p>FAIR MARKET VALUE</p> <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	<p>IF APPLICABLE, LIST DATE:</p> <p style="text-align: center;">____/____/19 ____/____/19</p> <p style="text-align: center;">ACQUIRED DISPOSED</p>
--	--

NATURE OF INTEREST
 Property Ownership/Deed of Trust Stock Partnership

Leasehold _____ Yrs. remaining Other _____

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

▶ 1. BUSINESS ENTITY OR TRUST

Name _____

Address (Business Address Acceptable) _____

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

GENERAL DESCRIPTION OF THIS BUSINESS _____

<p>FAIR MARKET VALUE</p> <input type="checkbox"/> \$0 - \$1,999 <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	<p>IF APPLICABLE, LIST DATE:</p> <p style="text-align: center;">____/____/19 ____/____/19</p> <p style="text-align: center;">ACQUIRED DISPOSED</p>
--	--

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)

<input type="checkbox"/> \$0 - \$499	<input type="checkbox"/> \$10,001 - \$100,000
<input type="checkbox"/> \$500 - \$1,000	<input type="checkbox"/> OVER \$100,000
<input type="checkbox"/> \$1,001 - \$10,000	

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

None or Names listed below

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

Check one box:
 INVESTMENT REAL PROPERTY

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

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

<p>FAIR MARKET VALUE</p> <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	<p>IF APPLICABLE, LIST DATE:</p> <p style="text-align: center;">____/____/19 ____/____/19</p> <p style="text-align: center;">ACQUIRED DISPOSED</p>
--	--

NATURE OF INTEREST
 Property Ownership/Deed of Trust Stock Partnership

Leasehold _____ Yrs. remaining Other _____

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

Comments: _____

Instructions – Schedule A-2

Investments, Income, and Assets of Business Entities/Trusts

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

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

To Complete Schedule A-2:

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

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

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

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

- Disclose each source of income and outstanding loan **to the business entity or trust** identified in Part 1 if your pro rata share of the **gross** income (including your community property interest in your spouse's or registered domestic partner's share) to the business entity or trust from that source was \$10,000 or more during the reporting

period. (See Reference Pamphlet, page 11, for examples.) Income from governmental sources may be reportable if not considered salary. See Regulation 18232. Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.

- Disclose each individual or entity that was a source of commission income of \$10,000 or more during the reporting period through the business entity identified in Part 1. (See Reference Pamphlet, page 8.)

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

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

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

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

SCHEDULE B
Interests in Real Property
 (Including Rental Income)

Name _____

▶ ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS _____

CITY _____

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

\$2,000 - \$10,000 _____/_____/19

\$10,001 - \$100,000 _____/_____/19

\$100,001 - \$1,000,000 ACQUIRED DISPOSED

Over \$1,000,000

NATURE OF INTEREST

Ownership/Deed of Trust Easement

Leasehold _____ _____

Yrs. remaining Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

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

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

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

None

▶ ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS _____

CITY _____

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

\$2,000 - \$10,000 _____/_____/19

\$10,001 - \$100,000 _____/_____/19

\$100,001 - \$1,000,000 ACQUIRED DISPOSED

Over \$1,000,000

NATURE OF INTEREST

Ownership/Deed of Trust Easement

Leasehold _____ _____

Yrs. remaining Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

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

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

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

None

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

NAME OF LENDER* _____

ADDRESS (Business Address Acceptable) _____

BUSINESS ACTIVITY, IF ANY, OF LENDER _____

INTEREST RATE TERM (Months/Years)

_____% None _____

HIGHEST BALANCE DURING REPORTING PERIOD

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

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

Guarantor, if applicable

NAME OF LENDER* _____

ADDRESS (Business Address Acceptable) _____

BUSINESS ACTIVITY, IF ANY, OF LENDER _____

INTEREST RATE TERM (Months/Years)

_____% None _____

HIGHEST BALANCE DURING REPORTING PERIOD

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

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

Guarantor, if applicable

Comments: _____

Instructions – Schedule B Interests in Real Property

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

Interests in real property include:

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

You are **not** required to report:

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

To Complete Schedule B:

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

Reminders

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

disclose the number of years remaining on the lease.

- If you received rental income, check the box indicating the gross amount you received.
- If you had a 10% or greater interest in real property and received rental income, list the name of the source(s) if your pro rata share of the gross income from any single tenant was \$10,000 or more during the reporting period. If you received a total of \$10,000 or more from two or more tenants acting in concert (in most cases, this will apply to married couples), disclose the 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.

ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS 4600 24th Street	
CITY Sacramento	
FAIR MARKET VALUE <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	IF APPLICABLE, LIST DATE: ACQUIRED _____ / ____ / 18 DISPOSED _____ / ____ / 18
NATURE OF INTEREST <input type="checkbox"/> Ownership/Deed of Trust <input type="checkbox"/> Easement <input type="checkbox"/> Leasehold _____ Yrs. remaining _____ Other _____	
IF RENTAL PROPERTY, GROSS INCOME PERIOD <input type="checkbox"/> \$0 - \$499 <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	
SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more. <input type="checkbox"/> None Henry Wells	
NAME OF LENDER* Sophia Petroillo	
ADDRESS (Business Address Acceptable) 2121 Blue Sky Parkway, Sacramento	
BUSINESS ACTIVITY, IF ANY, OF LENDER Restaurant Owner	
INTEREST RATE 8 % <input type="checkbox"/> None	TERM (Months/Years) 15 Years
HIGHEST BALANCE DURING REPORTING PERIOD <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	
<input type="checkbox"/> Guarantor, if applicable	
Comments: _____	

SCHEDULE C

Income, Loans, & Business Positions

(Other than Gifts and Travel Payments)

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name _____

▶ 1. INCOME RECEIVED	▶ 1. INCOME RECEIVED
<p>NAME OF SOURCE OF INCOME _____</p> <p>ADDRESS <i>(Business Address Acceptable)</i> _____</p> <p>BUSINESS ACTIVITY, IF ANY, OF SOURCE _____</p> <p>YOUR BUSINESS POSITION _____</p> <p>GROSS INCOME RECEIVED <input type="checkbox"/> No Income - Business Position Only</p> <p><input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000</p> <p><input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000</p> <p>CONSIDERATION FOR WHICH INCOME WAS RECEIVED</p> <p><input type="checkbox"/> Salary <input type="checkbox"/> Spouse's or registered domestic partner's income <i>(For self-employed use Schedule A-2.)</i></p> <p><input type="checkbox"/> Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.)</p> <p><input type="checkbox"/> Sale of _____ <i>(Real property, car, boat, etc.)</i></p> <p><input type="checkbox"/> Loan repayment</p> <p><input type="checkbox"/> Commission or <input type="checkbox"/> Rental Income, list each source of \$10,000 or more</p> <p>_____ <i>(Describe)</i></p> <p><input type="checkbox"/> Other _____ <i>(Describe)</i></p>	<p>NAME OF SOURCE OF INCOME _____</p> <p>ADDRESS <i>(Business Address Acceptable)</i> _____</p> <p>BUSINESS ACTIVITY, IF ANY, OF SOURCE _____</p> <p>YOUR BUSINESS POSITION _____</p> <p>GROSS INCOME RECEIVED <input type="checkbox"/> No Income - Business Position Only</p> <p><input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000</p> <p><input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000</p> <p>CONSIDERATION FOR WHICH INCOME WAS RECEIVED</p> <p><input type="checkbox"/> Salary <input type="checkbox"/> Spouse's or registered domestic partner's income <i>(For self-employed use Schedule A-2.)</i></p> <p><input type="checkbox"/> Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.)</p> <p><input type="checkbox"/> Sale of _____ <i>(Real property, car, boat, etc.)</i></p> <p><input type="checkbox"/> Loan repayment</p> <p><input type="checkbox"/> Commission or <input type="checkbox"/> Rental Income, list each source of \$10,000 or more</p> <p>_____ <i>(Describe)</i></p> <p><input type="checkbox"/> Other _____ <i>(Describe)</i></p>

▶ 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:

<p>NAME OF LENDER* _____</p> <p>ADDRESS <i>(Business Address Acceptable)</i> _____</p> <p>BUSINESS ACTIVITY, IF ANY, OF LENDER _____</p> <p>HIGHEST BALANCE DURING REPORTING PERIOD</p> <p><input type="checkbox"/> \$500 - \$1,000</p> <p><input type="checkbox"/> \$1,001 - \$10,000</p> <p><input type="checkbox"/> \$10,001 - \$100,000</p> <p><input type="checkbox"/> OVER \$100,000</p>	<p>INTEREST RATE TERM (Months/Years)</p> <p>_____ % <input type="checkbox"/> None _____</p> <p>SECURITY FOR LOAN</p> <p><input type="checkbox"/> None <input type="checkbox"/> Personal residence</p> <p><input type="checkbox"/> Real Property _____ <i>Street address</i></p> <p>_____ <i>City</i></p> <p><input type="checkbox"/> Guarantor _____</p> <p><input type="checkbox"/> Other _____ <i>(Describe)</i></p>
--	--

Comments: _____

Instructions – Schedule C

Income, Loans, & Business Positions

(Income Other Than Gifts and Travel Payments)

Reporting Income:

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

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

Reporting Business Positions:

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

Commonly reportable income and loans include:

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

Reminders

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

You are not required to report:

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

(See Reference Pamphlet, page 12.)

To Complete Schedule C:

Part 1. Income Received/Business Position Disclosure

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

Part 2. Loans Received or Outstanding During the Reporting Period

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

SCHEDULE D
Income – Gifts

Name _____

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

▶ NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

Comments: _____

Instructions – Schedule D Income – Gifts

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

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

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

Commonly reportable gifts include:

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

Reminders

- Gifts from a single source are subject to a \$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.

You are not required to disclose:

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

To Complete Schedule D:

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

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

Name _____

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

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

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

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

▶ MUST CHECK ONE: Gift **-or-** Income

Made a Speech/Participated in a Panel

Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

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

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

▶ MUST CHECK ONE: Gift **-or-** Income

Made a Speech/Participated in a Panel

Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

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

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

▶ MUST CHECK ONE: Gift **-or-** Income

Made a Speech/Participated in a Panel

Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

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

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

▶ MUST CHECK ONE: Gift **-or-** Income

Made a Speech/Participated in a Panel

Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

Comments: _____

Instructions – Schedule E Travel Payments, Advances, and Reimbursements

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

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

You are not required to disclose:

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

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

To Complete Schedule E:

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

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

- **Travel payments are income** if you provided services that were equal to or greater in value than the payments received. You must disclose income totaling

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

Example:

City council member MaryClaire Chandler is the chair of a 501(c)(6) trade association, and the association pays for 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.

<small>▶ NAME OF SOURCE (Not an Acronym)</small>	
Health Services Trade Association	
<small>ADDRESS (Business Address Acceptable)</small>	
1230 K Street, Suite 610	
<small>CITY AND STATE</small>	
Sacramento, CA	
<small>501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE</small>	
Association of Healthcare Workers	
<small>DATE(S):</small> ____/____/____	<small>AMT: \$</small> 550.00
<small>(If gift)</small>	
<small>▶ MUST CHECK ONE:</small> <input type="checkbox"/> Gift <input checked="" type="checkbox"/> -or- <input checked="" type="checkbox"/> Income	
<input type="radio"/> Made a Speech/Participated in a Panel	
<input checked="" type="radio"/> Other - Provide Description <u>Travel reimbursement for board meeting.</u>	
<small>▶ If Gift, Provide Travel Destination</small> _____	

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

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

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.

Honorarium Ban

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

Loan Restrictions

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

Post-Governmental Employment

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

Late Filing

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

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

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

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

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

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

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

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

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

Income Disclosure

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

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

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

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

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 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.

Questions and Answers Continued

- 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 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.
- 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.