



Candidate Handbook and Resource Guide

CITY OF SANTA ANA
GENERAL MUNICIPAL ELECTION
NOVEMBER 5, 2024

CITY CLERK'S OFFICE
CITY OF SANTA ANA
20 CIVIC CENTER PLAZA, M-30
SANTA ANA, CA 92702
EMAIL: CITYCLERK@SANTA-ANA.ORG
WEBSITE: WWW.SANTA-ANA.ORG
OFFICE: (714) 647-6520

PAGE INTENTIONALLY
LEFT BLANK

DISCLAIMER

The material and references contained in this handbook are intended to provide general guidance to the candidate. While the information contained herein is believed to be correct, the guidelines are not comprehensive nor intended to provide legal advice. In those instances, where sources are referenced by statute, paragraph number, page number, or other citation, the use of a reference may be copied verbatim.

Candidates and others using this Handbook must bear full responsibility to make their own determinations as to all legal standards, duties, and factual material contained herein. This Handbook is not intended to provide legal advice and should not be used as a substitute for legal counsel; it does not necessarily include all provisions which may affect candidates.

Please keep in mind that running for office is an open and public process. Therefore, once contact is made with this office and/or documents are filed, candidate and campaign information generally becomes public record and may be made available to the public, in various forms, unless any such record or information is deemed exempt. Daily listings of qualified candidates will be posted online and made available to the public.

Should you have any questions, please do not hesitate to call our office during regular business hours at (714) 647-6520 or email CityClerk@santa-ana.org.

PAGE INTENTIONALLY
LEFT BLANK

CITY OF SANTA ANA

TABLE OF CONTENTS

<u>SECTION 1 - General Election Information</u>	1-10
1. Letter from City Clerk	3
2. Purpose	5
3. Overview	7
<u>SECTION 2 - Required Filings</u>	11-76
4. Checklist of Items to be Returned to the City Clerk	13
5. Nomination Papers (To Be Provided To Candidate Upon Issuance)	15
• Candidate Qualifications	
• Circulators	
• Nominating Signatures	
• Supplemental Nomination Paper	
• Withdrawal of Nomination Papers	
6. City of Santa Ana Candidate's Statement Acknowledgement Form	23
7. Candidate's Statement Information Sheet	25
8. Statement of Economic Interest (FPPC Form 700)	27
9. Candidate Intention Statement (FPPC Form 501)	51
10. Residency Policy – Resolution No. 2020-041	53
• Affidavit of Residency Form	
11. Department of Transportation – Statement of Responsibility for Temporary Political Signs	69
12. Candidate Handbook – Acknowledgement of Review and Receipt	71
13. Notice of Waiver and Release Statement	75
<u>SECTION 3 - Optional Filings</u>	77-148
14. Ballot Designation Guidelines	79
15. Ballot Designation Worksheet	81
16. Ballot Designation - California Code of Regulations, Secretary of State (SOS)	87
17. Candidate's Statement General Guidelines	99
18. Candidate's Statement Regulations – Resolution No. 2024-024	103
19. Candidate's Statement of Qualifications	107
• Word Count Standards	
20. Statement of Financial Worth Guidelines and Form	111
21. Code of Ethics and Conduct – Resolution No. 2008-039 and Form	115
22. Code of Fair Campaign Practices	131
23. Statement of Organization (FPPC Form 410)	135
24. Officeholder and Candidate Campaign Statement (FPPC Form 470)	143
25. Write-In Candidate	147

SECTION 4 - Campaign Finance Disclosure: Forms and Activities **149-182**

26. Soliciting Campaign Funds	151
• Other Regulations Related to Campaign Committees	
• Bank Account	
• Authorized Solicitors	
• \$1,000 Campaign Contribution Limit	
27. Campaign Reporting	155
• Surplus Funds	
28. Description of Campaign Forms	157
• FPPC Form 501: Candidate Intention Statement	
• FPPC Form 410: Statement Of Organization	
• FPPC Form 460: Recipient Committee	
• FPPC Form 470: Officeholder/Candidate – Short Form	
• FPPC Form 496: Independent Expenditure Report	
• FPPC Form 497: 24–Hour Contribution Report	
29. Filing Schedule	159
• Campaign Disclosure Filing Schedules	
• Miscellaneous Requirements Related to Campaign Reports	
• FAQs – Campaign Activity	
30. Campaign Disclosure Manual 2 (FPPC)	175
31. Limitations and Restrictions on Gifts, Honoraria, Travel and Loans (FPPC)	177
32. E-Filing Instruction – Netfile	179
33. Summary of Campaign Contribution Limits and Provisions for Voting Disqualification	181
• Santa Ana Charter Provisions	
• Santa Ana Municipal Code Provisions	

SECTION 5 – Exhibits **183-232**

34. Notice of General Municipal Election – November 5, 2024	185
35. Calling for the Election - Resolution No. 2024-022	187
36. Consolidating with Orange County - Resolution No. 2024-023	189
37. Election Calendar and Deadlines	193
38. Regular Business Hours	197
39. City Wards Map	199
40. Use of City Seal and Logo	207
41. Campaign Activities	209
• Campaign/Political Signs (Temporary Signs)	
• City Regulations	
• Citations and Enforcement	
• Citation Process	
• Candidate Use of Personal Funds	

• Investigation of Campaign Violations	
42. Business and Professions Code Section 5405.3 (Outdoor Advertising Act Regarding Temporary Political Signs)	213
43. Political Sign Information – Penal Code 556.1 and 591	215
44. Literature Requirements, Mass Mailing Requirement, and Penal Provisions	217
45. Electioneering – Elections Code 18370-18371	221
46. Ballot Order of Candidates – California Elections Code Sections 13111 and 13112	223
47. Contact Information - Outside Agencies: Telephone Numbers and Websites	225
48. County of Orange Registrar of Voters Candidate Services	227
• Website and General Election Information	
• Election Night Results	
• Services to Candidates	
49. Candidate / Treasurer Seminars	231

PAGE INTENTIONALLY
LEFT BLANK

SECTION 1

GENERAL INFORMATION

PAGE INTENTIONALLY
LEFT BLANK

MAYOR
Mayor Amezcua
MAYOR PRO TEM
Thai Viet Phan
COUNCILMEMBERS
Phil Bacerra
Johnathan Ryan Hernandez
Jessie Lopez
David Penalzoa
Benjamin Vazquez



ACTING CITY MANAGER
Alvaro Nuñez
CITY ATTORNEY
Sonia R. Carvalho
CITY CLERK
Jennifer L. Hall

CITY OF SANTA ANA

Office of the City Clerk
20 Civic Center Plaza • P.O. Box 1988
Santa Ana, California 92702
www.santa-ana.org

July 15 to August 9, 2024

Dear Prospective Candidate for Santa Ana Elective Office,

Thank you for your interest in serving your City and community by becoming a candidate and, if elected, a member of the Santa Ana City Council. The General Municipal Election will be held on Tuesday, November 5, 2024 for Mayor, for a term of two (2) years, and three (3) Council Member ward seats (Ward Nos. 1, 3, and 5), each for a term of four (4) years.

This Candidate Handbook (Handbook) has been prepared for Santa Ana residents wishing to become a candidate for the office of Mayor or Council Member and provides a general guide to assist in facilitating the elections process by providing a general overview and information related to deadlines, procedures, and requirements. The Handbook outlines procedures established by the City Charter, City Ordinances codified into the Santa Ana Municipal Code, the California Elections Code, and the California Government Code. Online access to the Handbook is available on the City's website at: <https://www.santa-ana.org/elections/>.

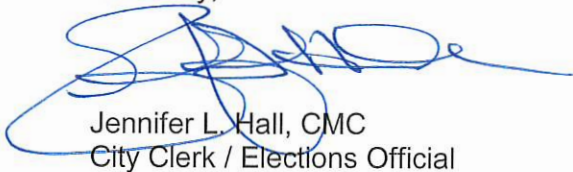
Candidates and others using this Handbook must bear full responsibility to make their own determinations as to all legal standards, duties, and factual material contained herein. This Handbook is not intended to provide legal advice and should not be used as a substitute for legal counsel. It does not necessarily include all provisions that may affect candidates and does not have the force and effect of law, regulation, or rule.

Please keep in mind that running for office is an open and public process. Therefore, once contact is made with the City Clerk's office and/or documents are filed, candidate and campaign information generally becomes public record and may be made available to the public in various forms (including posting online), unless any such record or information is deemed exempt. Daily listings of qualified candidates will be posted online for public access.

The City Clerk's Office is here to provide information and necessary forms. Please contact me if you have any questions at (714) 647-6520 or via email at jhall@santa-ana.org.

Thank you for your commitment and service to the City of Santa Ana.

Sincerely,



Jennifer L. Hall, CMC
City Clerk / Elections Official

SANTA ANA CITY COUNCIL

Valerie Amezcua
Mayor
vamezcua@santa-ana.org

Thai Viet Phan
Mayor Pro Tem, Ward 1
tphan@santa-ana.org

Benjamin Vazquez
Ward 2
bvazquez@santa-ana.org

Jessie Lopez
Ward 3
jessielopez@santa-ana.org

Phil Bacerra
Ward 4
pbacerra@santa-ana.org

Johnathan Ryan Hernandez
Ward 5
jryanhernandez@santa-ana.org

David Penalzoa
Ward 6
dpenaloza@santa-ana.org

PAGE INTENTIONALLY
LEFT BLANK

PURPOSE

The informational material here provided is for individuals interested in running for the office of Mayor or Councilmember in the City of Santa Ana, but may also be of interest to the public. The **November 5, 2024** general election will be conducted citywide involving approximately 129,876 registered voters, as of the Secretary of State report of registration dated February 20, 2024, and will be administered by the Orange County Registrar of Voters.

This handbook is divided into several sections including "Required Filings," "Optional Filings," "Campaign Finance Disclosure: Forms and Activities," and "Exhibits," and covers key information about the election process, officer forms, filing deadlines, and candidate responsibilities.

The material in this handbook is a compilation of provisions in the Santa Ana City Charter, Santa Ana Municipal Code, State of California Elections Code, and State of California Government Code. The California Elections Code and California Government Code books are available for review at the Santa Ana Public Library and the Orange County Law Library, both located in the Santa Ana Civic Center Plaza. The City Charter and Municipal Code may be viewed online at https://library.municode.com/ca/santa_ana/codes/code_of_ordinances.

PAGE INTENTIONALLY
LEFT BLANK

OVERVIEW

The Santa Ana City Council is a nonpartisan legislative body composed of seven members – six Councilmembers and the Mayor. Councilmembers are nominated from one of six geographic wards in the city and elected by vote of the electors within their respective ward. The Mayor is nominated and elected citywide and does not represent an individual ward.

Candidate Eligibility - To become a candidate for election to the position of Mayor or Councilmember, individuals must meet certain qualifications and file the necessary documents with the City Clerk's Office to become an official candidate.

Following are some basic facts relative to the 2024 General Municipal Election:

- On November 5, 2024 the seats for Wards 1, 3, 5, and Mayor will be up for election.
- A candidate for Mayor must be a registered voter and a thirty (30) day resident of the City of Santa Ana at the time the Nomination Papers are issued by the elections official.
- A candidate for Councilmember must be a registered voter and a thirty (30) day resident of the Ward from which the candidate will be nominated at the time the Nomination Papers are issued by the elections official.
- The City Clerk, or designee, will issue the Nomination Papers if the following requirements are met:
 - Elections Code §201 requires candidates for elective office to be registered voters and qualified to vote in that office at the time nomination papers are **issued**.
 - Pursuant to [City Charter §401](#), thirty (30) days residency for that office is required by the time Nomination Papers are issued by the elections official.
 - Pursuant to [Resolution No. 2020-041](#), candidates running for a City Council seat or for the Mayoral seat must provide no less than two (2) of the following to the City Clerk to document and verify that candidates meet the 30-day residency requirement. This additional documentation must be current and valid in the candidate's name and residence address for a date not less than (30) days and that the candidate is a registered voter. Acceptable documents include:
 - ☐ Voter registration;
 - ☐ Proof of home ownership or rental agreement;
 - ☐ Valid California motor vehicle registration with insurance;
 - ☐ Current utility bill;
 - ☐ Official school records;
 - ☐ Employment documents;
 - ☐ Current homeowner or renter's insurance policy;
 - ☐ Government-issued documentation;
 - ☐ California or federal court documentation; or

- ☐ Financial institution documentation.

Additionally, the candidate must sign an affidavit, in a form approved by the City Clerk and City Attorney, verifying residency under penalty of perjury.

- The nomination period **closes at 5:00 p.m. on Friday, August 9, 2024** and extended nomination period, if needed, **closes at 5:00 p.m. on Wednesday, August 14, 2024.**
- Nomination Papers may be withdrawn **ONLY** during the nomination period.
- The Candidate Statement may be withdrawn no later than Monday, August 12, 2024 at 5:00 P.M. (or until Thursday, August 15, 2024 at 5:00 P.M. if nomination period extended).

Term of Office - Councilmembers serve terms of four (4) years and are limited to three (3) terms of four (4) years each. This term limit of a total of twelve (12) years of service shall be deemed to apply to anyone elected in or after the 2012 general municipal election. ([Resolution No. 2022-067](#) and [City Charter §401.01](#))

- The Mayor serves a term of two (2) years and is limited to four (4) terms. This term limit of a total of eight (8) years of service shall be deemed to apply to anyone elected in or after the 2012 general municipal election. ([Resolution No. 2022-067](#) and [City Charter §401.01](#))
- A **term** begins at 6:00 p.m. on the first regularly scheduled meeting or at a special meeting following certification of election results ([City Charter §400](#)). A Special City Council Meeting will be tentatively scheduled on December 10, 2024 at 6:00 p.m. to certify the results of the election and administer the oath of office to the elected Councilmembers and Mayor.

Compensation - [Pursuant to Santa Ana City Charter §402](#), each member of the City Council and the Mayor shall receive as a monthly salary \$1,000 for their services as allowed by the population formula set forth in California Government Code §36516. Additionally, each member of the City Council and Mayor shall receive reimbursement for required travel and other expenses while on official business of the City as authorized and approved by resolution of the City Council. In accordance with §36516, any amounts paid by the City for retirement, health, and welfare benefits shall not be included for purposes of determining salary under this section, provided that the same benefits are available and paid by the City for its executive employees. Any amounts paid by the City to reimburse for actual and necessary expenses pursuant to a Council resolution shall not be included for purposes of determining salary. ([Resolution No. 2016-094](#))

- Housing Authority meetings are paid at the rate of \$50.00 per meeting ([Resolution No. 89-089](#)).

- Absence of the Mayor or a Councilmember from all regular and special meetings of the City Council during any calendar month shall render them ineligible to receive the monthly salary for that calendar month, unless such absence was approved by the City Council as expressed in its official minutes.

Concurrently with this election, a measure is before the voter of Santa to index Council Compensation at a salary of thirty-three percent (33%) of that of an Orange County Superior Court Judge. If approved by the voters, this is a salary amount that would take effect in January 2025.

Organization - The Mayor is a **voting** member of the City Council and presides over its meetings.

Each calendar year, at the first meeting in January, the City Council shall **elect a Mayor Pro Tem** who shall act as mayor during the absence from the City or disability of the mayor, or during any vacancy in the office of mayor until otherwise filled in accordance with [section 403](#). All members of the City Council, other than the mayor, shall be eligible to serve as mayor pro tem regardless of their seniority or whether they previously served a term or terms as mayor pro tem. The mayor pro tem from the previous year cannot be selected as mayor pro tem the next year. The mayor pro tem shall serve at the will and pleasure of the Council and may be replaced by four affirmative votes of the Council. ([City Charter §405](#)).

Role and responsibility - The City Council serves as the City's legislative body and enacts local laws, approves programs, and appropriates funds.

City Council Meetings - The City Council meets regularly on the 1st and 3rd Tuesday of the month (or the next business day if a holiday) no sooner than 3:00 P.M. - 5:00 P.M. for Closed Session followed by the Regular Open Session at 5:30 P.M. or immediately following the Closed Session meeting. ([Resolution No. 2023-047](#))

Councilmembers also serve on a variety of regional boards that meet on a regular basis throughout the year. Meeting compensation, dates, and times vary by committee/board as do their filing requirements.

PAGE INTENTIONALLY
LEFT BLANK

SECTION 2

REQUIRED FILINGS

PAGE INTENTIONALLY
LEFT BLANK

CITY CLERK'S OFFICE CHECKLIST OF ITEMS TO BE RETURNED

The following items are to be returned when filing for office:

- _____ Candidate Information
- _____ Ballot Designation Worksheet (**required if requesting a ballot designation**)
- _____ Candidate Statement Information Sheet (**required**)
- _____ Candidate's Statement Agreement (**required**)
- _____ Candidate's Statement of Qualifications (**optional**) and the following:
 - _____ Statement on a USB flash drive or
emailed to jhall@santa-ana.org in Word format (.doc)
 - _____ Hard copy signed by candidate
 - _____ Deposit (check made payable to: City of Santa Ana)
 - _____ \$1560.16 for At-Large Mayor
 - _____ \$731.33 for Ward 1 Councilmember
 - _____ \$703.11 for Ward 3 Councilmember
 - _____ \$652.67 for Ward 5 Councilmember
- _____ Nomination Paper (**required**) (*provided by City Clerk*)
- _____ City of Santa Ana's Code of Ethics (**optional**)
- _____ Code of Fair Campaign Practices (**optional**)
- _____ Affidavit of Residency (**required**)
- _____ California Department of Transportation Statement of Responsibility for
Temporary Political Signs (**required**)
- _____ Form 700 – Statement of Economic Interests (**required**)
- _____ Form 501 – Candidate Intention Statement (**required**)
- _____ Form 470 – Officeholder and Candidate Campaign Statement (**optional**)
- _____ Form 410 – Statement of Organization (**optional**)

WHERE TO FILE:

City Clerk's Office, Santa Ana City Hall, 20 Civic Center Plaza., Santa Ana, CA 92702, **NO LATER THAN August 9, 2024 at 5:00 p.m.** Extended candidate filing period, if needed, shall be **NO LATER THAN August 14, 2024 at 5:00 p.m.**

Call (714) 647-6520 to schedule an appointment with the City Clerk to obtain your nomination papers and documents and a separate appointment to file your nomination papers and documents. Appointments generally last 45 minutes to an hour.

CITY HALL CLOSURE DAYS DURING NOMINATION PERIOD: City Hall is closed on Fridays, July 19 and August 2 per the City's business hours. The **City Clerk's Office will be open** on **Friday, August 9 from 8:00 a.m.-5:00 p.m.** to process nomination papers.

General Hours: City Hall is open 8:00 a.m. to 5:00 p.m. Monday through Thursday and alternate Friday. Appointments are highly recommended.

NOMINATION PAPER

INFORMATION AND INSTRUCTIONS

Before You Are Issued Nomination Papers

- Make sure you are a registered voter and provide proof of residency showing a minimum thirty (30) days in the Ward from which the candidate is nominated at the time nomination papers are **issued** to them by the elections official for **Councilmember**
- Make sure you are a registered voter and provide proof of residency in the City with a minimum of thirty (30) days at the time nomination papers are **issued** to them by the elections official for a candidate for **Mayor**.
- Elections Code Section 201 requires candidates for elective office to be registered voters and qualified to vote for that office at the time nomination papers are issued.
- A candidate shall not file a nomination paper for more than one municipal office or term of office for the same municipality in the same election.
- The address included in the Nomination Paper must match the voter registration address on file.
- The City Clerk's Office will contact the Orange County Registrar of Voters to verify your voter registration information.
- After verification, the nomination forms will be issued to you for circulation.
- If your information cannot be verified, you will **not** be issued nomination papers. **There are no exceptions.**

Determining the Petition Circulator and Completing the "Declaration of Circulator"

- Only one person may circulate the nomination paper.
- A person shall not circulate a state or local initiative, referendum, or recall petition or nominating paper unless the person is 18 years of age or older. (Elections Code §102, Amended by Stats. 2013, Ch. 278, Sec. 1. Effective January 1, 2014.)
- Candidates may circulate their own Nomination Paper or may appoint another person to act as circulator *but only one circulator* may obtain signatures for a Nomination Paper. (Elections Code §10220)
- Whoever circulates the petition must complete the "Declaration of Circulator," which attests that the person who circulated the petition saw the signatures being signed, and knows that they are the signatures of the persons whose names they purport to be. (Elections Code §10222, §10226)
- The "Declaration of Circulator" on the back of the nomination paper must contain the dates between which the paper was circulated and the circulator's signature.

Circulating Your Nomination Paper

- The nomination paper must be signed by not less than 20 nor more than 30 registered voters of the City of Santa Ana. Signatures on candidate nomination forms must be from registered voters in the council candidate's ward. It is strongly recommended that you obtain 30 signatures in order to provide for those that may be invalidated due to their registration status. (Elections Code Section 10220)

- You may sign your own nomination paper.
- Make sure the voters signing your paper sign and print their complete names, as well as their residence address in the city, in their own handwriting. Common errors that lead to invalidated signatures include incomplete entries, incorrect address listed, or signature does not match voter registration file. Petition circulators should not fill in a signer's address. (Elections Code Sections 10221 and 10226)
 - **Note:** Verify that signers are registered voters and reside within the appropriate Ward boundaries prior to filing Nomination Paper by checking addresses on the City's GIS system:
<https://santa-ana.maps.arcgis.com/apps/webappviewer/index.html?id=fb230cb61bbc4462b1e350a8d0a29867>
- Pursuant to Elections Code Section 10220, "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.** **Each seat on the governing body is a separate office.**"

Completing the "Affidavit of Nominee and Oath or Affirmation of Allegiance"

- It is suggested that this section of the nomination paper be completed at the time of filing in the presence of the City Clerk. Since State law strictly prohibits certain words to be used as designations, it is suggested that you confer with the City Clerk before recording your designation on the form.
- Your ballot designation is restricted to no more than three words describing your principal profession, vocation, or occupation. (Please refer to the Elections Code Sections pertaining to ballot designation in this section of the handbook.)
- While it is suggested that the "Affidavit" be completed in the presence of the City Clerk, it may also be completed in the presence of a Notary Public.
- Your "Oath or Affirmation of Allegiance" is required to be executed in the presence of the City Clerk or a Notary Public in order to assure the voters that in the event you are elected, you will accept the office and faithfully discharge the duties of Member of the City Council.

The Nomination Paper is forwarded to the Orange County Registrar of Voters Office who then verifies the addresses and signatures against the registration affidavits. The verification process is complete when the Orange County Registrar of Voters Office validates the minimum requisite number of signatures. The City Clerk or designee notifies the candidate of the results, at which point the person seeking public office becomes an official candidate.

Deadline for Filing Nomination Papers

- The deadline to submit your nomination paper is **Friday, August 9, 2024 at 5:00 P.M.**
- It is recommended that you file your papers early. Once a Nomination Paper is filed with the City Clerk or designee, it 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 their Nomination Paper, the elections official shall:

- Retain the original Nomination Paper; and
- Issue one supplemental petition to the candidate on which the candidate may collect additional signatures, if the Nomination Period is still open. 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.” [Elections Code §10221(b)]

The Supplemental Nomination Paper shall be filed not later than the last day for filing for office, **Friday, August 9, 2024, 5:00 P.M.** (Elections Code §10224)

Deadline for Withdrawing Nomination Papers

- All Nomination Papers shall be filed with the City Clerk, or designee, during regular business hours as posted, not later than the 88th day before the election, which is **Friday, August 9, 2024 5:00 P.M.** Until that time, but not after, a candidate may withdraw their Nomination Papers.
- Withdrawal must be made in writing and addressed to the City Clerk by said deadline.

PAGE INTENTIONALLY
LEFT BLANK



NOMINATION PAPER

Any voter signing this Nomination Paper for a Council Ward
MUST be a Resident and Registered Voter
of the **SAME** Ward as the Nominee.

MUST obtain at least **20** but no more
than **30** signatures.

For Official Use	OFFICIAL FILING FORM
City Clerk or Assistant City Clerk	
Date	

We, the undersigned voters, hereby nominate

First Name Middle/Initial (Optional) Last Name

for the office of

SANTA ANA

for the City of

GENERAL MUNICIPAL ELECTION

to be voted for at the

NOVEMBER 5, 2024

to be held on Tuesday,

1	Signature	Residence Address	
	Print Name		
2	Signature	Residence Address	
	Print Name		
3	Signature	Residence Address	
	Print Name		
4	Signature	Residence Address	
	Print Name		
5	Signature	Residence Address	
	Print Name		
6	Signature	Residence Address	
	Print Name		
7	Signature	Residence Address	
	Print Name		
8	Signature	Residence Address	
	Print Name		
9	Signature	Residence Address	
	Print Name		
10	Signature	Residence Address	
	Print Name		

11	Signature	Residence Address	For Official Use
	Print Name		
12	Signature	Residence Address	
	Print Name		
13	Signature	Residence Address	
	Print Name		
14	Signature	Residence Address	
	Print Name		
15	Signature	Residence Address	
	Print Name		
16	Signature	Residence Address	
	Print Name		
17	Signature	Residence Address	
	Print Name		
18	Signature	Residence Address	
	Print Name		
19	Signature	Residence Address	
	Print Name		
20	Signature	Residence Address	
	Print Name		
21	Signature	Residence Address	
	Print Name		
22	Signature	Residence Address	
	Print Name		
23	Signature	Residence Address	
	Print Name		
24	Signature	Residence Address	
	Print Name		
25	Signature	Residence Address	
	Print Name		
26	Signature	Residence Address	
	Print Name		
27	Signature	Residence Address	
	Print Name		

28	Signature	Residence Address	For Official Use
	Print Name		
29	Signature	Residence Address	
	Print Name		
30	Signature	Residence Address	
	Print Name		

DECLARATION OF CIRCULATOR

(on next page)

(Only 1 person, who is 18 years of age or older
may circulate a municipal nomination paper, per Elections Code Sections 102,104, 10220, and 10222)

AFFIDAVIT OF NOMINEE AND OATH OR AFFIRMATION OF ALLEGIANCE

(on next page)

ATTENTION CANDIDATE: Please refer to the Ballot Designation Worksheet provided before completing the Affidavit of Nominee.

(A candidate may sign his or her own nomination paper.)

CANDIDATE'S PERSONAL INFORMATION

.....
Candidate's Name

.....
Day Phone

.....
Candidate's Residence Address

.....
Evening Phone

.....
City

.....
State

.....
Zip

.....
Fax

.....
Mailing Address (if different than above)

.....
Email Address

DECLARATION OF CIRCULATOR

Any person that is 18 years of age or older may circulate a nomination paper. (Only 1 circulator may circulate this nomination paper).
(Do NOT type this section. It **MUST** be filled out in your own handwriting.)

State of California

County of _____ } ss.

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

1. That I am 18 years of age or older.
2. That my residence address, including street and number, is _____. If no street or number exists, a designation of my residence adequate to readily ascertain its location is _____.
3. That the signatures on this nomination paper were obtained between the dates of _____, _____, and _____, _____; that I circulated this petition and I saw the signatures on this section of the nomination papers being written; and that, to the best of my information and belief, each signature is the genuine signature of the person whose name it purports to be.

I certify (or declare) under the penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed by me at _____, on _____, _____.
(Place) (Date)

(Signature of Circulator)

(Elections Code §§ 102, 104, 10220, 10222, 10226)

AFFIDAVIT OF NOMINEE AND OATH OR AFFIRMATION OF ALLEGIANCE

State of California

County of _____ } ss.

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

(Print Name of Nominee)

(Print Name of Office)

that he or she will accept the office in the event of his or her election,
that he or she desires his or her name to appear on the ballot as follows: _____

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

and that his or her residence address is: _____

Name & Occupation as it will appear on Official Ballot & in Voter Pamphlet:

(Print Name in All CAPS as you want it to appear on the ballot)
(No title or degree is allowed before or after your name)**

☐ Male ☐ Female (Print desired designation as it will appear on the ballot)*

(Print residence address as provided by affiant)

I, do solemnly swear (or affirm) that I will support and defend the Constitution of the United States and the Constitution of the State of California against all enemies, foreign and domestic; that I will bear true faith and allegiance to the Constitution of the United States and the Constitution of the State of California; that I take this obligation freely, without any mental reservation or purpose of evasion; and that I will well and faithfully discharge the duties upon which I am about to enter.

I certify (or declare) under the penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed by me at _____, on _____, _____.
(Place) (Date)

(Signature of Candidate)

(Elections Code §§ 200, 10223, 10226, CA Constitution Article XX, § 3)

*BALLOT DESIGNATION REQUIREMENTS SUMMARY

ATTENTION CANDIDATE: Please refer to the Ballot Designation Worksheet provided before completing the Affidavit of Nominee above.

*At the option of the candidate, **ONLY ONE** of the following designations may be used:

1. Words designating the elective city, county, district, state or federal office which the candidate holds at the time of filing the nomination documents to which he or she was elected by vote of the people or to which he or she was appointed, in the case of a superior or municipal court judge.
2. The word "Incumbent" (**without any other word(s)**) if the candidate is a candidate for the same office which he or she holds at the time of filing the nomination papers, and was elected to that office by a vote of the people, or in the case of a superior or municipal court judge, was appointed to that office.
3. No more than three words designating either the current principal professions, vocations, or occupations of the candidate, or the principal professions, vocations, or occupations of the candidate during the calendar year immediately preceding the filing of nomination documents.
4. The phrase "Appointed Incumbent" if the candidate holds office by virtue of appointment, but may not use the unmodified word "Incumbent".

No candidate shall assume a designation, which would mislead the voters.

(Elections Code 13107, 13107.5)

**No title or degree shall appear on the same line on a ballot as a candidate's name, either before or after the candidate's name. (Elections Code 13106)

CITY OF SANTA ANA

CANDIDATE STATEMENT AGREEMENT

PRINTING AND HANDLING OF THE CANDIDATE'S STATEMENT:

I, _____, am a candidate for the office of _____ of the City Council, at the General Municipal Election to be held November 5, 2024. I desire to avail myself of the benefit of Elections Code, Section 13307, regarding filing by candidates for elective offices in local agencies, cities, counties, and districts of a statement of qualifications.

I understand that, pursuant to law, the City Council has determined that such candidates desiring to utilize these *optional* services shall pay to the City of Santa Ana the actual prorated costs of printing and handling such statements, which will be printed in compliance with the language provisions of the National Voter Registration Act.

Upon request, the Registrar of Voters will make available a Spanish, Chinese, Vietnamese, or Korean translation to a voter.

I have been informed that the deposit for the cost of the Candidate's Statement will be:

_____ Candidate for Mayor - \$1560.16

_____ Candidate for Member of City Council – Ward 1 - \$731.33

_____ Candidate for Member of City Council – Ward 3 - \$703.11

_____ Candidate for Member of City Council – Ward 5 - \$652.67

*Electronic Candidate's Statement **ONLY** Cost will be \$509.82.

I understand this is the cost and deposit and that full payment is due upon filing of the nomination papers ([Pursuant to City Council Resolution No. 2024-024](#))

Signature of Candidate

Date

WAIVER OF CANDIDATE STATEMENT:

I, _____, HEREBY ACKNOWLEDGE that I may prepare and submit a Candidate's Statement to be mailed to voters with the sample ballots. **By signing this document, I declare that do not elect to file a Candidate's Statement.**

Signature of Candidate

Date

PAGE INTENTIONALLY
LEFT BLANK

CANDIDATE'S STATEMENT INFORMATION SHEET

Please type using regular lowercase letters, do not use all CAPS.
Type your statement clearly and legibly - DO NOT handwrite or print.

Section 13307 of the Elections Code of the State of California sets forth guidelines for candidate's statements.
Please follow them:

1. The statement of each candidate shall be printed in type of uniform size and darkness and with uniform spacing.
2. The statement shall not include any party affiliation or membership or activity in partisan political organizations.
3. Reference to other candidates for that office or to another candidate's qualifications, character, or activities are prohibited.
4. Your statement will be printed as submitted; therefore you are advised to carefully check for errors in punctuation and grammar. Spelling however, will be corrected by the computer automatically.
5. Remember to sign this form and any supplemental sheets if used and attach them to your statement. If you wish to have a foreign language translation of your statement prepared for printing in the Voter's Pamphlet, be sure to check the space(s) provided on the front of this form.

WORD COUNT STANDARDS

As stated in Section 9 of the California Elections Code.

(a) Counting of words, for purposes of this code, shall be as follows:

- (1) Punctuation is not counted.
- (2) Each word shall be counted as one word except as specified in this section.
- (3) All proper nouns, including geographical names, shall be considered as one word; for example, "City and County of San Francisco" shall be counted as one word.
- (4) Each abbreviation for a word, phrase, or expression shall be counted as one word.
e.g. *UCLA, PTA, L.A.P.D.*
- (5) 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, including a generally available standard reference dictionary published online, shall be considered as one word. Each part of all other hyphenated words shall be counted as a separate word.
- (6) Dates shall be counted as one word, in either format, i.e., *April 10, 1990* or *4/10/90*.
- (7) Any number consisting of a digit or digits shall be considered as one word. Any number which is spelled, such as "one," shall be considered as a separate word or words. "One" shall be counted as one word whereas "one hundred" shall be counted as two words. "100" shall be counted as one word.
- (8) Telephone numbers shall be counted as one word.
- (9) Internet website addresses shall be counted as one word.

(b) This section does not apply to counting words for ballot designations under Sections 13107.

FOR MEMBER OF THE CITY COUNCIL

JOHN SMITH

Age: 45

Occupation: Businessman

I have been a 30 year resident of this City and thoroughly enjoy living here. I would like to increase citizen education and police resources to stop the gang and graffiti activity that are overtaking our city.

I would like to implement environmental standards for cleaner water and air quality.

I respectfully ask for your support and thank those of you who cast your vote for me. A vote for me is a vote for a better City Council.

/s/ John Smith

SAMPLE OF STATEMENT FORMAT



Using 10 pt type, uniform style.

PAGE INTENTIONALLY
LEFT BLANK

2023-2024 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 3050 • 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 2023

Quick Start Guide

Detailed instructions begin on page 3.

WHEN IS THE ANNUAL STATEMENT DUE?

- March 1 – Elected State Officers, Judges and Court Commissioners, State Board and Commission members listed in Government Code Section 87200
- April 2 – 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, cryptocurrency, 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 **\$590** for calendar years **2023** and **2024**. The gift limit was \$520 for calendar years 2021 and 2022.

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
- 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 Newly Created Boards and Commissions: File with your agency or with your agency's code reviewing body pursuant to Regulation 18754.

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 as follow:

State offices, Judicial offices and multi-county offices	⇒	County elections official with whom you file your declaration of candidacy
County offices	⇒	County elections official
City offices	⇒	City Clerk
Public Employee's Retirement System (CalPERS)	⇒	CalPERS
State Teacher's Retirement Board (CalSTRS)	⇒	CalSTRS

How to file:

The Form 700 is available at www.fppc.ca.gov. Form 700 schedules are also available in Excel format. Each Statement must have a handwritten "wet" signature or "secure electronic signature," meaning either (1) a signature submitted using an approved electronic filing system or (2) if permitted by the filing officer, a digital signature submitted via the filer's agency email address. (See Regulations 18104 and 18757.) Companies such as Adobe and DocuSign offer digital signature services. All statements are signed under the penalty of perjury and must be verified by the filer. See Regulation 18723.1(c) for filing instructions for copies of expanded statements.

When to file:

Annual Statements

⇒ March 1, 2024

- Elected State Officers
- Judges and Court Commissioners
- State Board and State Commission Members listed in Government Code Section 87200

⇒ April 2, 2024

- Most other filers

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

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, 2023, and December 31, 2023, and filed an assuming office statement, you are not required to file an annual statement until March 1, 2025, or April 1, 2025, whichever is applicable. The annual statement will cover the day after you assumed office through December 31, 2024. (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. The amended schedule(s) is attached to your original filed statement. 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 Maria 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, 2023, through December 31, 2023. If the period covered by the statement is different than January 1, 2023, through December 31, 2023, (for example, you assumed office between October 1, 2022, and December 31, 2022 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 2023.

- 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, 2023, through the date you stopped performing the duties of your position. If the period covered differs from January 1, 2023, through the date you stopped performing the duties of your position (for example, you assumed office between October 1, 2022, and December 31, 2022, 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 2023.

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.

Expanded Statement:

If you hold multiple positions subject to reporting requirements, you may be able to file an expanded statement for each position, rather than a separate and distinct statement for each position. The expanded statement must cover all reportable interests for all jurisdictions and list all positions on the Form 700 or on an attachment for which it is filed. The rules and processes governing the filing of an expanded statement are set forth in Regulation 18723.1.

STATEMENT OF ECONOMIC INTERESTS
COVER PAGE
A PUBLIC DOCUMENT

Date Initial Filing Received
Filing Official Use Only

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, 2023, through
December 31, 2023.

-or-

The period covered is / / , through
December 31, 2023.

☐ **Leaving Office:** Date Left / /
(Check one circle.)

☐ The period covered is January 1, 2023, through the date
of leaving office.

-or-

☐ The period covered is / / , through
the date of leaving office.

☐ **Assuming Office:** Date assumed / /

☐ **Candidate:** Date of Election and office sought, if different than Part 1:

4. Schedule Summary (required)

► 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 (month, day, year)

Signature *(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 separate and distinct statements with each agency. To simplify your filing obligations, in some cases you may instead complete a single expanded statement and file it with each agency.
 - The rules and processes governing the filing of an expanded statement are set forth in Regulation 18723.1. To file an expanded statement for multiple positions, enter the name of each agency with which you are required to file and your position title with each agency in the space provided. **Do not use acronyms.** Attach an additional sheet if necessary. Complete one statement disclosing all reportable interests for all jurisdictions. Then file the expanded statement with each agency as directed by Regulation 18723.1(c).

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 their 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 the Counties of Placer and Yuba. The City is located within Placer County. Brian may complete one expanded statement to disclose all reportable interests for both offices and list both positions on the Cover Page. Brian will file the expanded statement with each the City and the District as directed by Regulation 18723.1(c).

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 2023 annual statement, **do not** change the pre-printed dates to reflect 2024. Your annual statement is used for reporting the **previous year's** economic interests. Economic interests for your annual filing covering January 1, 2024, through December 31, 2024, will be disclosed on your statement filed in 2025. See Reference Pamphlet, page 4.

Combining Statements: Certain types of statements for the same position 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. Each statement must have an original “wet” signature unless filed with a secure electronic signature. (See page 3 above.) All statements must be signed under penalty of perjury and be verified by the filer pursuant to Government Code Section 81004. See Regulation 18723.1(c) for filing instructions for copies of expanded statements.

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.

CALIFORNIA FORM **700**
FAIR POLITICAL PRACTICES COMMISSION

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:

_____/_____/23 _____/_____/23
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:

_____/_____/23 _____/_____/23
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:

_____/_____/23 _____/_____/23
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:

_____/_____/23 _____/_____/23
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:

_____/_____/23 _____/_____/23
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:

_____/_____/23 _____/_____/23
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
- Cryptocurrency
- Insurance policies
- Annuities
- Commodities
- Shares in a credit union
- Government bonds (including municipal bonds)

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.

- 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. Do not use acronyms for the name of the business entity, unless it is one that is commonly understood by the public.
- 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. Frank’s conflict of interest code requires full disclosure of investments. Frank must disclose 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 Frank’s spouse or registered domestic partner and dependent children.

Alice Lance is a city council member. Alice 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.

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

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

<input type="checkbox"/> \$0 - \$1,999	____/____/23	____/____/23
<input type="checkbox"/> \$2,000 - \$10,000	ACQUIRED	DISPOSED
<input type="checkbox"/> \$10,001 - \$100,000		
<input type="checkbox"/> \$100,001 - \$1,000,000		
<input type="checkbox"/> Over \$1,000,000		

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 _____

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

<input type="checkbox"/> \$2,000 - \$10,000	____/____/23	____/____/23
<input type="checkbox"/> \$10,001 - \$100,000	ACQUIRED	DISPOSED
<input type="checkbox"/> \$100,001 - \$1,000,000		
<input type="checkbox"/> Over \$1,000,000		

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

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

<input type="checkbox"/> \$0 - \$1,999	____/____/23	____/____/23
<input type="checkbox"/> \$2,000 - \$10,000	ACQUIRED	DISPOSED
<input type="checkbox"/> \$10,001 - \$100,000		
<input type="checkbox"/> \$100,001 - \$1,000,000		
<input type="checkbox"/> Over \$1,000,000		

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 _____

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:

<input type="checkbox"/> \$2,000 - \$10,000	____/____/23	____/____/23
<input type="checkbox"/> \$10,001 - \$100,000	ACQUIRED	DISPOSED
<input type="checkbox"/> \$100,001 - \$1,000,000		
<input type="checkbox"/> Over \$1,000,000		

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)

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name _____

▶ ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS

CITY _____

FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000
☐ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

_____/_____/23 ACQUIRED _____/_____/23 DISPOSED

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

- ☐ \$2,000 - \$10,000
☐ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

_____/_____/23 ACQUIRED _____/_____/23 DISPOSED

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

_____% ☐ None

TERM (Months/Years)

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

_____% ☐ None

TERM (Months/Years)

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 first and last 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, Allison received rental income of \$12,000, from a single tenant who rented property 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 <u>XX</u> / <u>XX</u> / <u>XX</u> DISPOSED
NATURE OF INTEREST <input type="checkbox"/> Ownership/Deed of Trust <input type="checkbox"/> Leasehold <input type="checkbox"/> Easement <input type="checkbox"/> Other	
IF RENTAL PROPERTY, GROSS INCOME RECEIVED <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 Petrolo 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
NAME OF SOURCE OF INCOME _____ ADDRESS (Business Address Acceptable) _____ BUSINESS ACTIVITY, IF ANY, OF SOURCE _____ YOUR BUSINESS POSITION _____	NAME OF SOURCE OF INCOME _____ ADDRESS (Business Address Acceptable) _____ BUSINESS ACTIVITY, IF ANY, OF SOURCE _____ YOUR BUSINESS POSITION _____
GROSS INCOME RECEIVED <input type="checkbox"/> No Income - Business Position Only <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	GROSS INCOME RECEIVED <input type="checkbox"/> No Income - Business Position Only <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000
CONSIDERATION FOR WHICH INCOME WAS RECEIVED <input type="checkbox"/> Salary <input type="checkbox"/> Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.) <input type="checkbox"/> Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.) <input type="checkbox"/> Sale of _____ (Real property, car, boat, etc.) <input type="checkbox"/> Loan repayment <input type="checkbox"/> Commission or <input type="checkbox"/> Rental Income, list each source of \$10,000 or more _____ (Describe) <input type="checkbox"/> Other _____ (Describe)	CONSIDERATION FOR WHICH INCOME WAS RECEIVED <input type="checkbox"/> Salary <input type="checkbox"/> Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.) <input type="checkbox"/> Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.) <input type="checkbox"/> Sale of _____ (Real property, car, boat, etc.) <input type="checkbox"/> Loan repayment <input type="checkbox"/> Commission or <input type="checkbox"/> Rental Income, list each source of \$10,000 or more _____ (Describe) <input type="checkbox"/> Other _____ (Describe)

▶ 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:

NAME OF LENDER* _____ ADDRESS (Business Address Acceptable) _____ BUSINESS ACTIVITY, IF ANY, OF LENDER _____ HIGHEST BALANCE DURING REPORTING PERIOD <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	INTEREST RATE _____% <input type="checkbox"/> None SECURITY FOR LOAN <input type="checkbox"/> None <input type="checkbox"/> Personal residence <input type="checkbox"/> Real Property _____ Street address _____ City <input type="checkbox"/> Guarantor _____ <input type="checkbox"/> Other _____ (Describe)
---	--

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

<div>▶ NAME OF SOURCE (Not an Acronym)</div> <div>ADDRESS (Business Address Acceptable)</div> <div>BUSINESS ACTIVITY, IF ANY, OF SOURCE</div> <table> <tr> <th>DATE (mm/dd/yy)</th> <th>VALUE</th> <th>DESCRIPTION OF GIFT(S)</th> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> </table>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	___/___/___	\$ _____	_____	___/___/___	\$ _____	_____	___/___/___	\$ _____	_____	<div>▶ NAME OF SOURCE (Not an Acronym)</div> <div>ADDRESS (Business Address Acceptable)</div> <div>BUSINESS ACTIVITY, IF ANY, OF SOURCE</div> <table> <tr> <th>DATE (mm/dd/yy)</th> <th>VALUE</th> <th>DESCRIPTION OF GIFT(S)</th> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> </table>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	___/___/___	\$ _____	_____	___/___/___	\$ _____	_____	___/___/___	\$ _____	_____
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)																							
___/___/___	\$ _____	_____																							
___/___/___	\$ _____	_____																							
___/___/___	\$ _____	_____																							
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)																							
___/___/___	\$ _____	_____																							
___/___/___	\$ _____	_____																							
___/___/___	\$ _____	_____																							
<div>▶ NAME OF SOURCE (Not an Acronym)</div> <div>ADDRESS (Business Address Acceptable)</div> <div>BUSINESS ACTIVITY, IF ANY, OF SOURCE</div> <table> <tr> <th>DATE (mm/dd/yy)</th> <th>VALUE</th> <th>DESCRIPTION OF GIFT(S)</th> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> </table>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	___/___/___	\$ _____	_____	___/___/___	\$ _____	_____	___/___/___	\$ _____	_____	<div>▶ NAME OF SOURCE (Not an Acronym)</div> <div>ADDRESS (Business Address Acceptable)</div> <div>BUSINESS ACTIVITY, IF ANY, OF SOURCE</div> <table> <tr> <th>DATE (mm/dd/yy)</th> <th>VALUE</th> <th>DESCRIPTION OF GIFT(S)</th> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> </table>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	___/___/___	\$ _____	_____	___/___/___	\$ _____	_____	___/___/___	\$ _____	_____
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)																							
___/___/___	\$ _____	_____																							
___/___/___	\$ _____	_____																							
___/___/___	\$ _____	_____																							
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)																							
___/___/___	\$ _____	_____																							
___/___/___	\$ _____	_____																							
___/___/___	\$ _____	_____																							
<div>▶ NAME OF SOURCE (Not an Acronym)</div> <div>ADDRESS (Business Address Acceptable)</div> <div>BUSINESS ACTIVITY, IF ANY, OF SOURCE</div> <table> <tr> <th>DATE (mm/dd/yy)</th> <th>VALUE</th> <th>DESCRIPTION OF GIFT(S)</th> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> </table>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	___/___/___	\$ _____	_____	___/___/___	\$ _____	_____	___/___/___	\$ _____	_____	<div>▶ NAME OF SOURCE (Not an Acronym)</div> <div>ADDRESS (Business Address Acceptable)</div> <div>BUSINESS ACTIVITY, IF ANY, OF SOURCE</div> <table> <tr> <th>DATE (mm/dd/yy)</th> <th>VALUE</th> <th>DESCRIPTION OF GIFT(S)</th> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>___/___/___</td> <td>\$ _____</td> <td>_____</td> </tr> </table>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	___/___/___	\$ _____	_____	___/___/___	\$ _____	_____	___/___/___	\$ _____	_____
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)																							
___/___/___	\$ _____	_____																							
___/___/___	\$ _____	_____																							
___/___/___	\$ _____	_____																							
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 \$590 limit in 2023. (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

CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION
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 <i>(Not an Acronym)</i>
ADDRESS <i>(Business Address Acceptable)</i>
CITY AND STATE
<input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE
DATE(S): ____/____/____ - ____/____/____ AMT: \$_____ <i>(If gift)</i>
▶ MUST CHECK ONE: <input type="checkbox"/> Gift -or- <input type="checkbox"/> Income
<input type="checkbox"/> Made a Speech/Participated in a Panel
<input type="checkbox"/> Other - Provide Description _____
▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE <i>(Not an Acronym)</i>
ADDRESS <i>(Business Address Acceptable)</i>
CITY AND STATE
<input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE
DATE(S): ____/____/____ - ____/____/____ AMT: \$_____ <i>(If gift)</i>
▶ MUST CHECK ONE: <input type="checkbox"/> Gift -or- <input type="checkbox"/> Income
<input type="checkbox"/> Made a Speech/Participated in a Panel
<input type="checkbox"/> Other - Provide Description _____
▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE <i>(Not an Acronym)</i>
ADDRESS <i>(Business Address Acceptable)</i>
CITY AND STATE
<input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE
DATE(S): ____/____/____ - ____/____/____ AMT: \$_____ <i>(If gift)</i>
▶ MUST CHECK ONE: <input type="checkbox"/> Gift -or- <input type="checkbox"/> Income
<input type="checkbox"/> Made a Speech/Participated in a Panel
<input type="checkbox"/> Other - Provide Description _____
▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE <i>(Not an Acronym)</i>
ADDRESS <i>(Business Address Acceptable)</i>
CITY AND STATE
<input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE
DATE(S): ____/____/____ - ____/____/____ AMT: \$_____ <i>(If gift)</i>
▶ MUST CHECK ONE: <input type="checkbox"/> Gift -or- <input type="checkbox"/> Income
<input type="checkbox"/> Made a Speech/Participated in a Panel
<input type="checkbox"/> 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 \$500 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 MaryClaire's 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 they are not providing services are likely considered gifts.

Note that the same payment from a 501(c)(3) would NOT be reportable.

Example:

Mayor Kim travels to China on a trip organized by China Silicon Valley Business Development, a California nonprofit, 501(c)(6) organization. The Chengdu Municipal People's Government pays for Mayor Kim's airfare and travel costs, as well as meals and lodging during the trip. The trip's agenda shows that the trip's purpose is to promote job creation and economic activity in China and in Silicon Valley, so the trip is reasonably related to a governmental purpose.

Thus, Mayor Kim must report the gift of travel, but the gift is exempt from the gift limit. In this case, the travel payments are not subject to the gift limit because the source is a foreign government and because the travel is reasonably related to a governmental purpose. (Section 89506(a)(2).) Note that Mayor Kim could be disqualified from participating in or making decisions about The Chengdu Municipal People's Government for 12 months. Also note that if China Silicon Valley Business Development (a 501(c)(6) organization) paid for the travel costs rather than the governmental organization, the payments would be subject to the gift limits. (See the FPPC fact sheet, Limitations and Restrictions on Gifts, Honoraria, Travel and Loans, at www.fppc.ca.gov.)

▶ NAME OF SOURCE (Not an Acronym)	
Health Services Trade Association	
ADDRESS (Business Address Acceptable)	
1230 K Street, Suite 610	
CITY AND STATE	
Sacramento, CA	
<input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE	
Association of Healthcare Workers	
DATE(S):	AMT: \$ 550.00
(If gift)	
▶ MUST CHECK ONE: <input type="checkbox"/> Gift -or- <input checked="" type="checkbox"/> Income	
<input type="radio"/> Made a Speech/Participated in a Panel	
<input checked="" type="radio"/> Other - Provide Description Travel reimbursement for board meeting.	
▶ If Gift, Provide Travel Destination	

▶ NAME OF SOURCE (Not an Acronym)	
Chengdu Municipal People's Government	
ADDRESS (Business Address Acceptable)	
2 Caoshi St. CaoShiJie, Qingyang Qu, Chengdu Shi,	
CITY AND STATE	
Sichuan Sheng, China, 610000	
<input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE	
DATE(S):	AMT: \$ 3,874.38
(If gift)	
▶ MUST CHECK ONE: <input checked="" type="checkbox"/> Gift -or- <input type="checkbox"/> Income	
<input type="radio"/> Made a Speech/Participated in a Panel	
<input checked="" type="radio"/> Other - Provide Description Travel reimbursement for trip to China.	
▶ If Gift, Provide Travel Destination	
Sichuan Sheng, China	

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 economic interests including personal assets and income. The Act's conflict of interest provisions also disqualify a public official from taking part in a governmental decision if it is reasonably foreseeable that the decision will have a material financial effect on these economic interests as well as the official's personal finances and those of immediate family. (Gov. Code Sections 87100 and 87103.) 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 Act's provisions.

Gift Prohibition

Gifts received by most state and local officials, employees, and candidates are subject to a limit. In 2023-2024, the gift limit increased to \$590 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 instead complete an expanded statement listing the county and the two boards on the Cover Page or an attachment as the agencies for which you will be filing. Disclose all reportable economic interests in all three jurisdictions on the expanded statement. File the expanded statement for your primary position providing an original “wet” signature unless filed with a secure electronic signature. (See page 3 above.) File copies of the expanded statement with the other two agencies as required by Regulation 18723.1(c). 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.

Questions and Answers

Continued

- 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.
- 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.)

Questions and Answers Continued

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.

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

Questions and Answers

Continued

Gift Disclosure

- Q. If I received a reportable gift of two tickets to a concert valued at \$100 each, but gave the tickets to a friend because I could not attend the concert, do I have any reporting obligations?
- A. Yes. Since you accepted the gift and exercised discretion and control of the use of the tickets, you must disclose the gift on Schedule D.
- Q. Julia and Jared Benson, a married couple, want to give a piece of artwork to a county supervisor. Is each spouse considered a separate source for purposes of the gift limit and disclosure?
- A. Yes, each spouse may make a gift valued at the gift limit during a calendar year. For example, during 2023 the gift limit was \$590, so the Bensons may have given the supervisor artwork valued at no more than \$1,080. The supervisor must identify Jared and Julia Benson as the sources of the gift.
- Q. I am a Form 700 filer with full disclosure. Our agency holds a holiday raffle to raise funds for a local charity. I bought \$10 worth of raffle tickets and won a gift basket valued at \$120. The gift basket was donated by Doug Brewer, a citizen in our city. At the same event, I bought raffle tickets for, and won a quilt valued at \$70. The quilt was donated by a coworker. Are these reportable gifts?
- A. Because the gift basket was donated by an outside source (not an agency employee), you have received a reportable gift valued at \$110 (the value of the basket less the consideration paid). The source of the gift is Doug Brewer and the agency is disclosed as the intermediary. Because the quilt was donated by an employee of your agency, it is not a reportable gift.
- Q. My agency is responsible for disbursing grants. An applicant (501(c)(3) organization) met with agency employees to present its application. At this meeting, the applicant provided food and beverages. Would the food and beverages be considered gifts to the employees? These employees are designated in our agency's conflict of interest code and the applicant is a reportable source of income under the code.
- A. Yes. If the value of the food and beverages consumed by any one filer, plus any other gifts received from the same source during the reporting period total \$50 or more, the food and beverages would be reported using the fair market value and would be subject to the gift limit.
- Q. I received free admission to an educational conference related to my official duties. Part of the conference fees included a round of golf. Is the value of the golf considered informational material?
- A. No. The value of personal benefits, such as golf, attendance at a concert, or sporting event, are gifts subject to reporting and limits.

PAGE INTENTIONALLY
LEFT BLANK

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:

⁵¹ State Candidates (including Judges):

Secretary of State
Political Reform Division
1500 11th Street, Room 495
Sacramento, CA 95814
Phone (916) 653-6224
www.sos.ca.gov

Local Candidates:

Generally your county election office or city clerk. Electronic filing may be required.

Bank Account:

A separate campaign bank account must be established including for campaigns that are self-funded by the candidate. A bank account is not required if a candidate will not receive any contributions or make personal expenditures of less than \$2,000 in a calendar year. The filing and statement of qualification fees are not included in calculating the \$2,000.

How to Complete:

All candidates: Complete Parts 1 and 3.

Candidates for elective state office: Complete Parts 1, 2, and 3.

Exception: Candidates for an election to the California Public Employees' Retirement Board, the State Teachers' Retirement Board, judges, and judicial candidates do not complete Part 2.

Part 1. Candidate Information

- Enter your name and street address.
- Enter the title of the office sought, agency name, and district number if any (e.g., City Council Member, City of Smalltown, Dist. 5).

- Enter your political party preference if seeking a partisan office. For a list of qualified political parties, go to: www.sos.ca.gov/elections/political-parties/qualified-political-parties/.

- Check the appropriate box regarding the office's jurisdiction.

Part 2. Voluntary Expenditure Ceiling

This section applies to certain candidates for elective state office, including State Senate and Assembly and statewide offices.

The voluntary expenditure ceiling applicable to your office is set forth in FPPC Regulation 18545. You must state whether you accept or reject the expenditure ceiling. Candidates who accept the voluntary expenditure limit will be designated in either the state voter information guide (statewide candidates) or the county voter information guide (Senate and Assembly candidates) and may purchase space for a 250-word statement there.

You may amend the Form 501 to change your

acceptance or rejection of the voluntary expenditure ceiling only under the following circumstances:

- Between the date of filing an initial Form 501 for an election and the deadline for filing nomination papers for that election, you may amend your statement of acceptance or rejection of the voluntary expenditure ceiling no more than two times as long as the limit has not been exceeded.
- If you reject the voluntary expenditure ceiling in the primary or special election but do not exceed the ceiling during that election, you may amend the Form 501 to accept the expenditure ceiling for the general or special runoff election and receive all of the benefits accompanying the acceptance of the expenditure ceiling. The amended Form 501 must be filed within 14 days following the primary or special election.

Personal Funds Notification:

You must disclose, if applicable, the date you contribute personal funds to your own campaign that exceed the expenditure ceiling. File an amended Form 501 within 24 hours by guaranteed overnight delivery, personal delivery, or, if applicable, by electronic means.

Part 3. Verification

The verification is signed under penalty of perjury. This form was prepared by the Fair Political Practices Commission (FPPC). For detailed information on campaign reporting requirements and the Information Practices Act of 1977, see the FPPC Campaign Disclosure Manual for your type of committee.

Candidate Intention Statement

Check One: ☐ Initial ☐ Amendment
(Explain)

Date Stamp	CALIFORNIA FORM 501
For Official Use Only	

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.	<input type="checkbox"/> NON-PARTISAN OFFICE
OFFICE JURISDICTION	PARTY PREFERENCE: (Check one box, if applicable.)		
<input type="checkbox"/> State (Complete Part 2.)	<input type="checkbox"/> PRIMARY / GENERAL		
<input type="checkbox"/> City <input type="checkbox"/> County <input type="checkbox"/> Multi-County:	(Name of Multi-County Jurisdiction)	(Year of Election)	<input type="checkbox"/> 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 _____ (month, day, year) Signature _____ (Candidate)

RESOLUTION NO. 2020-041

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF SANTA ANA CALIFORNIA, ESTABLISHING A POLICY ENTITLED "COUNCIL RESIDENCY POLICY" TO ESTABLISH CRITERIA REGARDING DOCUMENTATION NECESSARY TO DEMONSTRATE COMPLIANCE WITH CHARTER SECTION 401

WHEREAS, Section 401 of the Santa Ana City Charter requires persons running for City Council to be a thirty (30) day resident of the ward from which the candidate is nominated and requires persons running for mayor to be a thirty (30) day resident at the time nomination papers are issued; and

WHEREAS, in recent election cycles, there has been controversy regarding the residency of Council candidates; and

WHEREAS, there is a need to establish criteria regarding documentation necessary to demonstrate compliance with the City's residency requirements for candidates of elected office to assist candidates running for elected office in the City and to increase transparency in the nomination process for local elected office; and

WHEREAS, Santa Ana City Charter Section 401 also requires elected officials to live in their respective ward for their entire term; and


WHEREAS, there is a need to establish a Council Residency Policy establishing criteria for documentation necessary to demonstrate compliance with the City's residency requirements for candidates for elected office to be verified by the Clerk of the Council.

NOW, THEREFORE, THE CITY COUNCIL OF THE CITY OF SANTA ANA DOES HEREBY RESOLVE AS FOLLOWS:

SECTION 1. That the City Council adopts the attached Council Residency Policy (Exhibit "A") to establish criteria regarding documentation necessary to demonstrate compliance with the City's residency requirement in Santa Ana City Charter Section 401.

SECTION 2. This Resolution shall take effect immediately upon its adopting by the City Council, and the Clerk of Council shall attest to and certify the vote adopting this Resolution.

ADOPTED this 19th day of May, 2020.



Miguel A. Pulido
Mayor

APPROVED AS TO FORM:
Sonia R. Carvalho
City Attorney

By: Laura A. Rossini

Laura A. Rossini
Acting Chief Assistant City Attorney

AYES:	Councilmembers	<u>Bacerra, Penaloza, Sarmiento, Solorio,</u> <u>Villegas (5)</u>
NOES:	Councilmembers	<u>None (0)</u>
ABSTAIN:	Councilmembers	<u>None (0)</u>
NOT PRESENT:	Councilmembers	<u>Iglesias, Pulido (2)</u>


CERTIFICATE OF ATTESTATION AND ORIGINALITY

I, Daisy Gomez, Clerk of the Council do hereby attest to and certify the attached Resolution No. 2020-041 to be the original resolution adopted by the City Council of the City of Santa Ana on May 19, 2020.

Date: 5-22-2020



Daisy Gomez
Clerk of the Council
City of Santa Ana

 City of Santa Ana Policies and Procedures	City Council Approval	
	Section:	
COUNCIL RESIDENCY POLICY	Date Approved:	Number:

SECTION 1 DEFINITIONS

By-Ward Elections

On the November 6, 2018 General Municipal Election, voters approved a Charter amendment to transition from at-large City Councilmember elections to by-Ward elections. Wards 1, 3, and 5 will be subject to election on November 3, 2020, serving a four-year term. Wards 2, 4, and 6 will be subject to election on November 8, 2022, serving a four-year term. The Mayor shall be elected from the City at-large, serving a two-year term.

The City is divided into Wards and one member is elected per Ward. Only the voters in a specific City Council Ward may vote for City Council candidates for that Ward.

City

"City" means the City of Santa Ana, a municipal corporation.

Santa Ana City Charter Section 401

This Charter Section provides in pertinent part that to be eligible to be elected to the office of Councilmember, a person must be a qualified voter and a thirty (30) day resident of the ward from which the candidate is nominated at the time nomination papers are issued. The Mayor need only be a registered voter and a thirty (30) day resident of the City at such time. In the event any Councilmember other than the Mayor shall cease to be a resident of the Ward from which the Councilmember (or, in the case of an appointee, the Councilmember's predecessor) was elected, or in the event the Mayor shall cease to be a resident of the City, the office shall immediately become vacant and shall be filled in the same manner as herein provided for other vacancies; provided, that where a Councilmember ceases to be a resident of the ward from which the Councilmember (or, in case of an appointee, the Councilmember's predecessor) was elected solely because of a change in boundaries of any ward as in this charter provided, the Councilmember shall not lose the office by reason of such change. If a

member of the City Council shall be convicted of a crime involving moral turpitude, the office shall immediately become vacant and be so declared by the City Council.

SECTION 2

PURPOSE OF POLICY

The following policy is enacted to establish what types of supporting documentation can be provided by City Council and Mayoral candidates and sitting City Councilmembers and the Mayor to demonstrate that the candidate or elected official resides in their respective Ward or within the City they will or do represent.

Objectives of Policy:

1. To establish what types of documentation are sufficient to establish residency pursuant to Charter section 401.
2. To establish what types of documentation are sufficient to verify continued residency in the Ward or in the City for current elected officials.
3. To protect the interests of all Santa Ana citizens and maintain proper representation by developing policies that will help ensure that the Councilmembers truly reside in the Ward they represent and the Mayor truly resides in the City of Santa Ana.
4. To adopt enabling legislation via a municipal resolution to establish necessary policies.

Accomplishing the above stated objectives will help ensure that both the letter and spirit of Charter Section 401 will be implemented as Santa Ana voters intended.

SECTION 3

RESIDENCY REQUIREMENTS FOR MAYOR AND COUNCIL CANDIDATES

In addition to providing the County of Orange Registrar of Voters proof of voter registration at a residential address in the respective Ward when that residence is claimed by a candidate running for a City Council seat or within the City for the Mayoral seat, candidates must provide no less than two of the following additional documentation to the Clerk of the Council to verify that candidates meet the 30-day residency requirement. This additional documentation must be current and valid in the candidate's name and residence address for a date not less than 30 days from the date the nomination paper is issued:

1. **PROOF OF HOME OWNERSHIP / RENTAL PROPERTY.** Proof of home ownership as evidenced by 1) a copy of a title deed or grant deed, a mortgage

payment billing statement verifying the address or any other document that can verify home ownership and residency of the property; or 2) evidence of a homeowner's property tax exemption filed with the County of Orange Assessor for proof that the home is the primary residence; or

If candidates do not have a tax exemption on file, they must submit an affidavit signed by the candidate under penalty of perjury verifying that the home is the candidate's primary residence; or

If the home ownership is in the name of a person other than the candidate, or in the name of a legal entity, such as a trust, partnership, or corporation, the candidate must submit a signed and notarized affidavit, under penalty of perjury, by the homeowner or authorized legal representative of the entity verifying that candidate is living in the home as their primary residence; or

If the residence is rented or leased by the candidate, the candidate will provide proof of residency by submitting a signed copy of a current and legally enforceable lease or rental agreement demonstrating that the candidate resided at the specified address at least 30 days prior to issuing the nomination paper; or

If a candidate is living at a residence without a lease or rental agreement and whose name otherwise does not appear in the proof of home ownership, the candidate may have the landlord or property owner sign a notarized affidavit verifying, under penalty of perjury, the candidate's residency in the landlord or owner's property.

- 2. PROOF OF CALIFORNIA MOTOR VEHICLE REGISTRATION WITH INSURANCE.** Proof of California motor vehicle registration and current vehicle insurance, if any motor vehicles are registered to the candidate for the residency claimed, or proof of a valid and unexpired California driver's license or identification card showing their name and address is consistent with the address shown on the nomination paper. If the residence address on either the driver's license or auto registration is in the process of being changed to a residence address in the respective Ward that residence is claimed for running for a City Council seat or at an address within the City for a Mayoral seat, the candidate must provide a document from the California Department of Motor Vehicles (Form DMV 14) verifying the change was in process no less than 30 days before

the issuing of the nomination paper. If a candidate does not own an automobile or does not have a California driver's license or identification card, the candidate may submit any other State of California issued identification showing the residence address on the identifying document is consistent with the residence address shown on the nomination paper issued.

3. **UTILITY BILL.** An electric, gas, water, sewer, refuse, internet, cable TV, or landline phone bill in the candidate's name showing that the service address is consistent with the residence address in the candidate's nomination paper. In the event a utility bill has not been generated, a letter from an authorized representative of the utility provider stating that an account has been opened in the candidate's name at the residence address in the candidate's nomination paper that is no less than 30 days from the date of issuance of the nomination paper will suffice. If there is an agreement with a landlord or other legal entity, as verified by a rental contract or lease contract, that the landlord or other legal entity will pay the utility bill, the candidate must submit a notarized affidavit signed by the landlord or the other legal entity's authorized legal representative verifying, under penalty of perjury, that the landlord or other legal entity is responsible for paying the utility bill.

4. **OTHER DOCUMENTS WITH CURRENT ADDRESS DATED NOT OLDER THAN 90 DAYS AND NOT LESS THAN 30 DAYS:**

- a. School records or any official document issued by an accredited educational institution with current address sealed by the school.
- b. Current paycheck stub or personnel record issued by the candidate's employer showing the candidate's current residence address.
- c. Current homeowner or renter's insurance policy.
- d. Any original document issued by a governmental entity, office, or governmental authority from the U.S., California, County of Orange, City of Santa Ana, school district, agency, department, or any other political subdivision of the U.S. or State of California that is typed and contains the agency name, department name, state/county/city official seal, or is on official letterhead.

- e. Current documents issued by any California court or federal court that lists the name of the candidate and the residence address.
- f. Original record issued by any state or national bank, state or federal savings association, trust company, industrial loan company, state or federal credit union, or any institution or entity that has issued a credit card.

Additionally, the candidate must sign an affidavit, in a form approved by the Clerk of the Council and City Attorney verifying, under penalty of perjury, residency.

If the candidate fails to provide any two of the above-required documents (items 1-4) and the required affidavit, the candidate will not be issued the nomination paper for failure to meet the Charter Section 401 Ward residency requirement.

SECTION 4

PROVIDING PROOF OF RESIDENCY FOR COUNCIL CANDIDATES

Candidates are required to file all of the documents specified in Section 3 above with the Santa Ana Clerk of the Council's Office for verification at the time nomination papers are issued. The Clerk of the Council will review and verify that all required information is correct and meets the requirements of this Policy. No later than five (5) calendar days from receipt of the candidate's documents, the Clerk of the Council's Office shall complete the review and verification of the documents. The Clerk of the Council will then do one of the following:

- A. If all City residency requirements are satisfied pursuant to this Policy, the Clerk of the Council's Office will provide a correspondence by email or certified mail to the candidate confirming that the candidate has met the City's residency requirements; or
- B. If any deficiencies are discovered in the documents provided or certain documents are missing, the Clerk of the Council's Office will provide a correspondence by email or certified mail to the candidate identifying the specific deficiency(ies) or missing document(s). The candidate will have until the closing date of the nomination period to correct the deficiencies and re-submit the required documents for verification to the Clerk of the Council; or
- C. If the candidate either fails to complete verification of all of the requirements of this Policy within the prescribed time limits, or the resubmitted documents do not meet the requirements of the Policy, the Clerk of the Council's Office will provide

a correspondence by email or certified mail to the candidate advising them of the failure to meet the requirements of the Policy; or

- D. If the documents resubmitted by the candidate meet all requirements of this Policy, the Clerk of the Council's Office will provide a correspondence by email or certified mail to the candidate confirming that the Policy's residency requirements have been met.

SECTION 5

PROVIDING PROOF OF RESIDENCY FOR COUNCILMEMBERS AND MAYOR

Councilmembers are required to live in the Ward they represent and the Mayor is required to live in the City of Santa Ana during their entire term in office. To ensure that the Councilmembers and Mayor continue to live in the area they represent, each elected official must submit one of the following documents to the Clerk of the Council during the last 31 calendar days of the year (December 1st to 31st), with the exception of the first year in office:

1. Proof of home ownership as evidenced by 1) a copy of a title deed or grant deed, a mortgage payment billing statement verifying the address or any other document that can verify home ownership and residency of the property, or 2) evidence of a homeowner's property tax exemption filed with the County of Orange Assessor for proof that the home is their primary residence.

If the elected official does not have a tax exemption on file they must submit an affidavit signed by the elected official verifying that the home is their primary residence; or

If the home ownership is in the name of a person other than the elected official, or in the name of a legal entity, such as a trust, partnership or corporation, the elected official must submit an affidavit signed by the homeowner or authorized legal representative of the entity verifying that the elected official is living in the home as their primary residence; or

If the residence is rented or leased by the elected official, the elected official will provide proof of residency by submitting a signed copy of a current and legally enforceable lease or rental agreement demonstrating that the elected official resides at the specified address; or

If an elected official is living at a residence without a lease/rental agreement the elected official must have the landlord or property owner sign an affidavit

verifying, under penalty of perjury, the elected official's residency in landlord or owner's property.

2. Proof of current motor vehicle registration, if any motor vehicles are registered to the elected official for the residence claimed or proof of a valid California driver's license showing their address on their license is within the ward they represent or within the City for the Mayor. If the residence address on either the driver's license or auto registration is in process of being changed, the elected official must provide a document from the California Department of Motor Vehicles (Form DMC14) verifying the change is in process. If the elected official does not own an automobile or does not have a California driver's license, the elected official must submit any other State of California issued identification showing that their address on the identification document is consistent with the address shown on their current voter registration.
3. A current utility bill in the elected member's name showing that the service address is within the respective Ward for the Councilmember or within the City for the Mayor in the elected official's name. In the event a utility bill has not been generated, a letter from an authorized representative of the utility provider stating that an account has been opened in the elected official's name will suffice. If there is an agreement with a landlord or other legal entity, as verified by a rental contract or lease contract, that the landlord or other legal entity will pay the utility bill, the elected official must submit an affidavit signed by the landlord or the other legal entity's authorized legal representative, verifying that the landlord or other legal entity is responsible for paying the utility bill.
4. Other documents showing current residence address in the respective Ward for the Councilmember or City for the Mayor:
 - a. School records or any official document issued by an accredited educational institution, sealed by the school.
 - b. Current paycheck stub or personnel record issued by the elected official's employer.
 - c. Current homeowner or renter insurance policy.
 - d. Any original document issued by a governmental entity, office, or governmental authority from the U.S., California, County of Orange, City of Santa Ana, school district, agency, department, or any other political

subdivision of the U.S. or State of California that is typed and contains the agency name, department name, state/county/city official seal, or is on official letterhead.

- e. Current documents issued by any California court or a federal court that lists the name of the elected official and their residence address.
- f. Original record issued by any state or national bank, state or federal savings association, trust company, industrial loan company, state or federal credit union, or any institution or entity that has issued a credit card.

Additionally, the elected official must sign an affidavit verifying, under penalty of perjury, residency.

In the event that a Councilmember moved to a new residence within the Ward, or City for the Mayor, after the filing of the previous affidavit, the elected official must confirm the new address within 60 days of moving by providing one of the documents listed in items 1 through 4 under Section 3 and an affidavit to the Clerk of the Council.

Incumbent elected officials who have not relocated since the information required by this Section was last provided may comply with this Section by supplying a copy of a current driver's license or State of California issued identification card and an affidavit that they have not relocated and all previously supplied information remains true and correct. The Clerk of the Council shall confirm that the residence address on the incumbent elected official's voter registration is consistent with the other items supplied to demonstrate the residence address in the respective Ward that residence is claimed for serving in a City Council seat or at a residence address within the City for a Mayoral seat.

Failure to provide any of the above-required documents on or before December 31st of each year shall be referred to the City Council for further action.

SECTION 6

INVESTIGATION AND ENFORCEMENT

Any fraudulent residency complaints shall be submitted to the City Attorney for review and potential investigation. The City Attorney may refer such complaints to the County of Orange District Attorney. The District Attorney shall have the discretion to investigate

residency complaints and if sufficient evidence of fraud is found during the investigation, the District Attorney can elect to prosecute.

SECTION 7 TRANSPARENCY

The Clerk of the Council shall post the names and corresponding Council Ward, as appropriate, consistent with applicable confidentiality laws, of all candidates that have met the residency requirements of this Policy on the City's website and have a hard copy of the list available to be picked up at the Clerk of the Council's Office during normal business hours. Any confidential information shall be redacted before the public record is made available for inspection in accordance with the Public Records Act. After the election, the list of qualified candidates shall be removed from the City website and hard copies will no longer be available for pickup at the Clerk of the Council's Office.

A copy of this Policy shall be available, year-round on the City's website and a hard copy shall be available by request at the Clerk of the Council's Office during normal business hours. This will enable prospective candidates to review the residency requirements pursuant to this Policy.

SECTION 8 REVIEW

The Council shall request, at a regularly scheduled meeting, to review the implementation and practice of this Policy and, if necessary, amend the Policy to reflect required changes.

SECTION 9 EFFECTIVE DATE

This Policy shall take effect upon final passage. This Policy, along with any subsequent amendments, shall be the Council Residency Policy of the City of Santa Ana.

Council Residency Policy Adopted May 19, 2020 by Resolution No. 2020-041



AFFIDAVIT OF RESIDENCE

Name _____

Street Address _____

City, State _____

Zip _____

Date _____

To Whom This May Concern,

I, _____, formally acknowledge living at the street address of
_____, City of _____, State of _____ since
_____, 20____.

I have attached the following documents for your consideration showing no less than 30 days of residency address from date of signing this affidavit:

- ☐ Proof of Home Ownership/Rental Property
- ☐ Proof of Motor Vehicle Registration
- ☐ Utility Bill – electric, water, sewer, refuse, internet, cable TV or landline phone services
- ☐ Other: _____

Furthermore, I swear and affirm under penalty of perjury that the facts set forth in this statement are true and accurate. Executed this ____ day of _____, 20____, in
_____, California.

Declarant's signature

Declarant's name (printed)

Notary Acknowledgment

A Notary Public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of _____

County of _____

On _____, before me, _____, Notary Public, personally appeared _____ who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of in the State of _____ that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Place Notary Seal Above

Signature _____

Print Name _____

PAGE INTENTIONALLY
LEFT BLANK



AFFIDAVIT OF RESIDENCE

Name _____

Street Address _____

City, State _____ Zip _____

Date _____

To City Clerk,

I, _____, formally acknowledge living at the street address of
_____, City of _____, State of _____
since _____, _____.

I have attached the following documents for your consideration showing no less than 30 days of residency address from date of signing this affidavit:

- ☐ Proof of Home Ownership/Rental Property
- ☐ Proof of Motor Vehicle Registration
- ☐ Utility Bill – electric, water, sewer, refuse, internet, cable TV or landline phone services
- ☐ Other: _____

Furthermore, I swear and affirm under penalty of perjury that the facts set forth in this statement are true and accurate. Executed this ____ day of _____, 20____, in
_____, California.

Declarant's signature

Declarant's name (printed)

ADOPTED BY RESOLUTION NO. 2020-041
ON MAY 19, 2020

PAGE INTENTIONALLY
LEFT BLANK

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, or within 660 feet of the edge of and visible from 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

CITY OF SANTA ANA

ACKNOWLEDGEMENT FORM AND RECEIPT

CANDIDATE'S HANDBOOK

I, _____, a potential candidate for the November 5, 2024 General Municipal Election, do hereby acknowledge the Office of the City Clerk of the City of Santa Ana has provided me the materials as listed in the Table of Contents of the Candidate Handbook.

☐ **SECTION 1 - General Election Information**

1. Letter from City Clerk
2. Purpose
3. Overview

☐ **SECTION 2 - Required Filings**

4. Checklist of Items to be Returned to the City Clerk
5. Nomination Papers (To Be Provided To Candidate Upon Issuance)
 - Candidate Qualifications
 - Circulators
 - Nominating Signatures
 - Supplemental Nomination Paper
 - Withdrawal of Nomination Papers
6. City of Santa Ana Candidate's Statement Acknowledgement Form
7. Candidate's Statement Information Sheet
8. Statement of Economic Interest (FPPC Form 700)
9. Candidate Intention Statement (FPPC Form 501)
10. Residency Policy – Resolution No. 2020-041
 - Affidavit of Residency Form
11. Department of Transportation – Statement of Responsibility for Temporary Political Signs
12. Candidate Handbook – Acknowledgement of Review and Receipt
13. Notice of Waiver and Release Statement

☐ **SECTION 3 - Optional Filings**

14. Ballot Designation Guidelines
15. Ballot Designation Worksheet
16. Ballot Designation - California Code Regulations, Secretary of State (SOS)
17. Candidate's Statement General Guidelines
18. Candidate's Statement Regulations – Resolution No. 2024-024
19. Candidate Statement of Qualifications
 - Word Count Standards
20. Statement of Financial Worth Guidelines and Form
21. Code of Ethics and Conduct – Resolution No. 2008-039 and Form
22. Code of Fair Campaign Practices
23. Statement of Organization (FPPC Form 410)
24. Officeholder and Candidate Campaign Statement (FPPC Form 470)
25. Write-In Candidate

SECTION 4 - Campaign Finance Disclosure: Forms and Activities

26. Soliciting Campaign Funds
 - Other Regulations Related to Campaign Committees
 - Bank Account
 - Authorized Solicitors
 - \$1,000 Campaign Contribution Limit
27. Campaign Reporting
 - Surplus Funds
28. Description of Campaign Forms
 - FPPC Form 501: Candidate Intention Statement
 - FPPC Form 410: Statement Of Organization
 - FPPC Form 460: Recipient Committee
 - FPPC Form 470: Officeholder/Candidate – Short Form
 - FPPC Form 496: Independent Expenditure Report
 - FPPC Form 497: 24 – Hour Contribution Report
29. Filing Schedule
 - Campaign Disclosure Filing Schedules
 - Miscellaneous Requirements Related to Campaign Reports
 - FAQs – Campaign Activity
30. Campaign Disclosure Manual 2 (FPPC)
31. Limitations and Restrictions on Gifts, Honoraria, Travel and Loans (FPPC)
32. E-Filing Instruction - Netfile
33. Summary of Campaign Contribution Limits and Provisions for Voting Disqualification
 - Santa Ana Charter Provisions
 - Santa Ana Municipal Code Provision

SECTION 5 - Exhibits

34. Notice of General Municipal Election – November 5, 2024
35. Calling for the Election - Resolution No. 2024-022
36. Consolidating with Orange County - Resolution No. 2024-023
37. Election Calendar and Deadlines
38. Regular Business Hours
39. City Wards Map
40. Use of City Seal and Logo
41. Campaign Activities
 - Campaign/Political Signs (Temporary Signs)
 - City Regulations
 - Citations and Enforcement
 - Citation Process
 - Candidate Use of Personal Funds
 - Investigation of Campaign Violations
42. Business and Professions Code Section 5405.3 (Outdoor Advertising Act Regarding Temporary Political Signs)
43. Political Sign Information – Penal Code 556.1 and 591

44. Literature Requirements, Mass Mailing Requirement, and Penal Provisions
45. Electioneering – Elections Code 18370-18371
46. Ballot Order of Candidates – California Elections Code Sections 13111 and 13112
47. Contact Information - Outside Agencies :Telephones Numbers and Websites
48. County of Orange Registrar of Voters Candidate Services
 - Website and General Election Information
 - Election Night Results
 - Services to Candidates
49. Candidate / Treasurer Seminars

I acknowledge that all required nomination document items must be filed with the City Clerk no later than **Friday, August 9, 2024**, at **5:00 p.m.**

I acknowledge I have been requested to: (1) file as early as possible to allow for signature verification and re-issuance of supplemental nomination papers, if necessary; (2) schedule an appointment with the City Clerk's Office prior to filing; and (3) allow at least one hour to complete the filing process.

Date

Signature of Candidate

(For Office Use)

Minimum Requirements: E.C. § 201 requires candidates for elective office to be registered voters of the City at the time nomination papers are issued. Yes / No

Verified by: _____

PAGE INTENTIONALLY
LEFT BLANK

CITY OF SANTA ANA
CITY CLERK'S OFFICE

GENERAL MUNICIPAL ELECTION
NOVEMBER 5, 2024

NOTICE
WAIVER & RELEASE STATEMENT

I, _____ a prospective candidate (or the undersigned), for the Office of _____ of the City Council for the City of Santa Ana at the General Municipal Election on November 5, 2024, California, on the date written below, hereby acknowledge receipt of all the information listed on the Candidate Handbook and Resources Guide. I am hereby aware that the materials specified in the attachment are supplied in an effort to accommodate and inform those parties intending to become (prospective) candidates for the November 5, 2024 General Municipal Election. I further understand that as a (prospective) candidate, I am fully responsible to refer to Constitutional, Statutory and/or City provisions and/or Federal, State, County and City Codes that may apply to being a (prospective) candidate for municipal office.

I hereby further acknowledge that I am aware and understand that the information provided in the Candidate Handbook and Resource Guide is intended to provide guidance and information about the subject matter covered. I understand that it is distributed, however, with the understanding that the City Clerk, and/or her designated representative and/or the City of Santa Ana employee, does not render any legal, accounting and/or professional advice and that this packet is therefore, not to be substituted for legal counsel of the individual or (prospective) candidate using it.

I, therefore, hereby, waive, release, indemnify and hold harmless, the City of Santa Ana, its officials, employees, and representatives, of any and all claims, now and forever, relating to the above aforementioned subject matter, whether caused directly or indirectly as a consequence or in the course thereof.

Date:

Time:

Prospective Candidate or
Person in receipt of Candidate's Nomination Packet

Witness:

City Clerk's Office

PAGE INTENTIONALLY
LEFT BLANK

SECTION 3

OPTIONAL FILINGS

PAGE INTENTIONALLY
LEFT BLANK

BALLOT DESIGNATION WORKSHEET GUIDELINES

Each candidate who submits a ballot designation **shall file a Ballot Designation Worksheet** that supports the use of that ballot designation by the candidate, in a format prescribed by the Secretary of State (Elections Code §13107). The Ballot Designation Worksheet shall be filed with the City Clerk at the same time that the candidate files his/her Declaration of Candidacy. **The Ballot Designation Worksheet is public record and shall be available for inspection and copying.** (§20711)

If a candidate requests a change to the ballot designation pursuant to Elections Code §13107(e), that request shall be accompanied by a new Ballot Designation Worksheet. (§20711)

IN THE EVENT A CANDIDATE FAILS TO FILE A BALLOT DESIGNATION WORKSHEET, A DESIGNATION SHALL NOT APPEAR UNDER THE CANDIDATE'S NAME ON THE BALLOT. (§13107(f)(2))

If upon checking the nomination documents, 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 appearing on the candidate's nomination documents.

The candidate shall, within three days from the date of receipt of the notice, appear before the elections official and provide an alternate designation. **In the event the candidate fails to provide an alternate designation, no designation will appear after the candidate's name.**

No ballot designation given by a candidate shall be changed by the candidate after the final date for filing nomination documents, except as specifically requested by the elections official to change an unacceptable designation.

In no more than three (3) words, the candidate must designate either their **current** principal professions, vocations or occupations, or their principal professions, vocations or occupations during the calendar year immediately preceding the filing of nomination papers.

The word "incumbent" is allowed by itself if the candidate is a candidate for the same office which they hold at the time of filing the nomination papers and was elected to that office by a vote of the people.

The Ballot Designation Worksheet must be completed and filed with the City Clerk the same time that the candidate files their Nomination Papers. If the designation is changed prior to the last day for filing for office before the election date, a new worksheet must be completed.

It is recommended that alternate ballot designations, ranked in order of the candidate's preference, be included in the worksheet in the event that the first choice is contested.

It is the candidate's responsibility to justify the proposed designation and complete the form in its entirety.

Ballot designations in which any of the following are true will not be accepted:

- It would mislead the voter.
- It would suggest an evaluation of a candidate, such as outstanding, leading, expert, virtuous, or eminent.
- It abbreviates the word "retired" or places it following any word or words which it modifies.
- 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."
- It uses the name of any political party, whether or not it has qualified for the ballot.
- It uses a word or words referring to a racial, religious, or ethnic group.
- It refers to any activity prohibited by law.



California Secretary of State
BALLOT DESIGNATION WORKSHEET

November 5, 2024, General Election (Elections Code §§ 13107, 13107.3, 13107.5; California Code of Regulations § 20711)

This entire form **must be completed**, or it will not be accepted, and you will **not** be entitled to a ballot designation. **DO NOT LEAVE ANY RESPONSE SPACES BLANK.** If information requested is not applicable, please write "N/A" in the space provided, otherwise the information **MUST** be provided. **UPON FILING, THIS WORKSHEET WILL BE A PUBLIC DOCUMENT.**

Candidate
Information

1

Candidate Name:

Office:

Email:

Home Address:

Mailing Address:

Business Address:

Phone Number(s)

Business:

Home/Mobile:

Fax:

Attorney or
Other
Authorized
Person
Information

2

Attorney Name (or other person authorized to act on your behalf):

Address:

Phone Number(s)

Business:

Mobile:

Fax:

You may select as your ballot designation one of the following designations:

- (a) Your current principal profession(s), vocation(s), or occupation(s) [maximum total of three words, separated by a slash ("/")].
- (b) The full title of the public office you currently occupy and to which you were elected.
- (c) "Appointed [full title of public office]" if you currently serve by appointment in an elective public office and are seeking election to the same office or to some other office.
- (d) "Incumbent" if you were elected (or, if you are a Superior Court Judge, you are a candidate for the same office that you hold) to your current public office and seek election to the same office.
- (e) "Appointed Incumbent" if you were appointed to your current elective public office and seek election to the same office.

Proposed Ballot
Designation(s)

3

Proposed Ballot Designation(s):

Alternate Ballot Designation(s) 1:

Alternate Ballot Designation(s) 2:

If your proposed ballot designation is pursuant to Elections Code § 13107(a)(3):

The professions, vocations or occupations relied upon to support my proposed ballot designation(s) constitute my primary, main or leading professions, vocations or occupations. Initial _____

Translation of Proposed Designation: Gender specific translations will default to the masculine form for uniformity in translation unless you specify otherwise: () Masculine () Feminine

In the spaces provided on the next page(s):

- (a) Describe why you believe you are entitled to use the proposed ballot designation.
- (b) If your proposed ballot designation contains one or more slashes ("/") separating words in your ballot designation for separate principal profession(s), vocation(s), or occupation(s) (collectively known as "PVOs"), complete a justification section for each separate PVO.
- (c) Attach any documents or exhibits that you believe support your proposed ballot designation. (Note: It is not necessary to provide copies of Certificates of Election if you are currently a seated member for a voter-nominated office).
- (d) If using the title of an elective office, attach a copy of your certificate of election or appointment.
- (e) Any supporting documents will not be returned to you. **Do not submit originals.**

It is your responsibility to justify your proposed ballot designation and to provide all requested details.

If your proposed ballot designation includes the word "volunteer," indicate the title of your volunteer position and the name of the entity for which you volunteer along with a brief description of the type of volunteer work you do and the approximate amount of time involved. You may only use the ballot designation "community volunteer" if you volunteer for a 501(c)(3) charitable, educational, or religious organization, a governmental agency or an educational institution. You may not use "community volunteer" together with another designation.

If your proposed ballot designation contains **one or more slashes ("/")** separating multiple principal profession(s), vocation(s), or occupation(s) (collectively known as "PVOs"), **complete a justification section for each separate PVO.**

Justification for use of Proposed Ballot Designation(s) If you are proposing alternate ballot designations, please provide justification for use of those on Page 3.	4	Justification for use of 1 st PVO:			
		Current or most recent job title:		Start Date:	End Date:
		Employer Name or Business:			
		Person who can verify this information:			
		Name:	Phone Number(s):	Email:	
		Justification for use of 2 nd PVO:			
		Current or most recent job title:		Start Date:	End Date:
		Employer Name or Business:			
		Person who can verify this information:			
		Name:	Phone Number(s):	Email:	
		Justification for use of 3 rd PVO:			
		Current or most recent job title:		Start Date:	End Date:
Employer Name or Business:					
Person who can verify this information:					
Name:		Phone Number(s):	Email:		

Before signing below, answer/initial the following questions. Does your proposed ballot designation:

- | | | |
|--|--|---------------------|
| 1) Use only a portion of the title of your current elected office? | <input type="checkbox"/> Yes <input type="checkbox"/> No | Initial <u> </u> |
| 2) Non-judicial candidates: Use only the word "Incumbent" for an elective office to which you were appointed? | <input type="checkbox"/> Yes <input type="checkbox"/> No | Initial <u> </u> |
| 3) Use more than three total words for your principal professions, vocations, or occupations? | <input type="checkbox"/> Yes <input type="checkbox"/> No | Initial <u> </u> |
| 4) Suggest an evaluation of you, such as outstanding, leading, expert, virtuous, or eminent? | <input type="checkbox"/> Yes <input type="checkbox"/> No | Initial <u> </u> |
| 5) Refer to a status (Veteran, Activist, Founder, Scholar), rather than a profession, vocation, or occupations? | <input type="checkbox"/> Yes <input type="checkbox"/> No | Initial <u> </u> |
| 6) Abbreviate the word "retired"? | <input type="checkbox"/> Yes <input type="checkbox"/> No | Initial <u> </u> |
| 7) Place the word "retired" after the words it modifies? Example: Accountant, retired | <input type="checkbox"/> Yes <input type="checkbox"/> No | Initial <u> </u> |
| 8) Use a word or prefix (except "retired") such as "former" or "ex-" to refer to a former profession, vocation, or occupation? | <input type="checkbox"/> Yes <input type="checkbox"/> No | Initial <u> </u> |
| 9) Use the word "retired" along with a current profession, vocation, or occupation? Example: Retired Firefighter/Teacher | <input type="checkbox"/> Yes <input type="checkbox"/> No | Initial <u> </u> |
| 10) Use the name of a political party or political body? | <input type="checkbox"/> Yes <input type="checkbox"/> No | Initial <u> </u> |
| 11) Refer to a racial, religious, or ethnic group? | <input type="checkbox"/> Yes <input type="checkbox"/> No | Initial <u> </u> |
| 12) Refer to any activity prohibited by law? | <input type="checkbox"/> Yes <input type="checkbox"/> No | Initial <u> </u> |

If the answer to any of these questions is "yes," your proposed ballot designation is likely to be rejected.

X

Candidate's Signature

Date Signed: Month/Day/Year

COMPLETE THIS PAGE ONLY IF one or more **Alternate Ballot Designation(s)** are provided. If this page is not applicable, **please initial:** _____.

Justification for
Alternate Ballot
Designation(s) 1

A

Justification for use of 1 st PVO:		
Current or most recent job title:	Start Date:	End Date:
Employer Name or Business:		
Person who can verify this information:		
Name:	Phone Number(s):	Email:
Justification for use of 2 nd PVO:		
Current or most recent job title:	Start Date:	End Date:
Employer Name or Business:		
Person who can verify this information:		
Name:	Phone Number(s):	Email:
Justification for use of 3 rd PVO:		
Current or most recent job title:	Start Date:	End Date:
Employer Name or Business:		
Person who can verify this information:		
Name:	Phone Number(s):	Email:

Justification for
Alternate Ballot
Designation(s) 2

B

Justification for use of 1 st PVO:		
Current or most recent job title:	Start Date:	End Date:
Employer Name or Business:		
Person who can verify this information:		
Name:	Phone Number(s):	Email:
Justification for use of 2 nd PVO:		
Current or most recent job title:	Start Date:	End Date:
Employer Name or Business:		
Person who can verify this information:		
Name:	Phone Number(s):	Email:
Justification for use of 3 rd PVO:		
Current or most recent job title:	Start Date:	End Date:
Employer Name or Business:		
Person who can verify this information:		
Name:	Phone Number(s):	Email:

For your reference, the relevant provisions of Elections Code section 13107 are reproduced below:

(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 the candidate was elected by vote of the people.

(2) The word "incumbent" if the candidate is a candidate for the same office which the candidate holds at the time of filing the nomination papers, and was elected to that office by a vote of the people. A candidate shall not use the word "incumbent" if the candidate was elected to their office in an at-large election and is a candidate in a district-based election.

(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 the candidate holds and to which the candidate 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 the candidate 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 the candidate's principal professions shall use one of the following ballot designations as the candidate's 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, including a generally available standard reference dictionary published online, 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 the candidate 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.

For your reference, Elections Code section 13107.3 is reproduced below:

(a) A candidate who submits a ballot designation pursuant to subdivision (a) of Section 13107 shall file a ballot designation worksheet that supports the use of that ballot designation by the candidate, in a format prescribed by the Secretary of State.

(b) The ballot designation worksheet shall be filed with the elections official at the same time that the candidate files his or her declaration of candidacy.

(c) In the event that a candidate fails to file a ballot designation worksheet in accordance with subdivision (a), no designation shall appear under the candidate's name on the ballot.

For your reference, Elections Code section 13107.5 is reproduced below:

(a) A candidate's ballot designation as "community volunteer" shall constitute a valid principal vocation or occupation for purposes of subdivision (a) of Section 13107, if not otherwise in violation of any of the restrictions set forth in that section, and subject to the following conditions:

(1) A candidate's community volunteer activities constitute his or her principal profession, vocation, or occupation.

(2) A candidate is not engaged concurrently in another principal profession, vocation, or occupation.

(3) A candidate may not use the designation of "community volunteer" in combination with any other principal profession, vocation, or occupation designation.

(b) The Secretary of State shall by regulation define what constitutes a community volunteer for purposes of this section.

For your reference, California Code of Regulations section 20711 is reproduced below:

(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.

Ballot Designations

California Code of Regulations

Title 2. Administration

Division 7. Secretary of State

Chapter 7. Ballot Designations

[20710](#). General Provisions.

[20711](#) Ballot Designation Worksheet.

[20712](#) Proposed Ballot Designations Submitted Pursuant to Elections Code Section 13107, Subdivision (a)(1).

[20713](#) Proposed Ballot Designations Submitted Pursuant to Elections Code Section 13107, Subdivision (a)(2).

[20714](#) Proposed Ballot Designations Submitted Pursuant to Elections Code Section 13107, Subdivision (a)(3).

[20714.5](#) "Community Volunteer."

[20715](#) Proposed Ballot Designations Submitted Pursuant to Elections Code Section 13107, Subdivision (a)(4).

[20716](#) Unacceptable Ballot Designations.

[20717](#) Requests for Supporting Documentation.

[20718](#) Communication of Decisions Regarding Ballot Designations.

[20719](#) Service of Legal Process Regarding Ballot Designations.

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 Section 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 Section 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 Section 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.

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 Section 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 Section 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 Section 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 Section 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;

(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 Section 20714, subdivision (b).

(D) If the candidate submits a ballot designation pursuant to Elections Code Section 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 Section 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 Section 13107, Subdivision (a)(1).

Proposed ballot designations submitted pursuant to Elections Code Section 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 Section 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 Section 13107, subdivision (a)(1). Such ballot designations are improper, pursuant to Elections Code Section 13107, subdivision (a)(1). They may, however, subject to the three-word limit, be considered under the provisions of Section 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 Section 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 Section 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 Section 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 Section 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 Section 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 Section 13107, Subdivision (a)(3).

Proposed ballot designations submitted pursuant to Elections Code Section 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 Section 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 Section 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 Section 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 Section 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 Section 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 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 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 the candidate's licensure status is "inactive" at the time the candidate files his or her nomination document, or 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 Section 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 Section 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 Section 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 Section 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 Section 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 section 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: Section 12172.5, Government Code. Reference: Sections 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 section 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 section 20714 of this Chapter.

Note: Authority cited: Section 12172.5, Government Code; and Section 13107.5(b), Elections Code. Reference: Sections 13107 and 13107.5, Elections Code; and Section 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 s 13107, Subdivision (a)(4).

- (a) Pursuant to Elections Code Section 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 Section 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 Section 13107, subdivision (a)(4).

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).

20716. Unacceptable Ballot Designations.

- (a) The Secretary of State shall reject as unacceptable any proposed ballot designation which fails to comply with Elections Code Section 13107, subdivision (a); is prohibited pursuant to Elections Code Section 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 Section 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 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 Section 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 Section 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 Section 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 Section 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 Section 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 Section 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 Section 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 Section 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 Section 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 Section 13107.3 and Section 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 Section 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 Section 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).

PAGE INTENTIONALLY
LEFT BLANK

CANDIDATE'S STATEMENT OF QUALIFICATIONS GENERAL GUIDELINES

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/herself. **The statement shall not include the party affiliation of the candidate, nor membership or activity in partisan political organizations.** The candidate must sign the statement before it is filed in the office of the elections official when his/her 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, **August 9, 2024 by 5:00 P.M.** § 13307

The statement **may be withdrawn, but not changed**, during the period for filing nomination papers and until **August 12, 2024 by 5:00 P.M.**, the next working day after the close of the nomination period. § 13307(a)(3)

NOTE: In the event that the nomination period for a particular office is extended because an incumbent eligible to be elected did not file nomination papers, a Candidate's Statement for that particular office, filed by either candidates prior to the 88th day before the election or by new candidates during the extended nomination period, **may be withdrawn, but not changed**, during the extended nomination period and until **5:00 P.M. of the next working day after the close of the extended nomination period, August 15, 2024.** §13307

IMPORTANT: Candidate's Statement of Qualifications may make no reference to another candidate. In addition to the restrictions set forth in Section 13307, any Candidate's Statement of Qualifications submitted pursuant to Section 13307 shall be limited to a recitation of the candidate's own personal background and qualifications, and **shall not in any way make reference to other candidates for that office or to another candidate's qualifications, character, or activities.** The elections official shall not cause to be printed or circulated any statement that the elections official determines is not so limited or that includes any reference prohibited by this section. § 13308

The Registrar of Voters will send to each voter, together with the sample ballot, a voter's pamphlet which contains the written statements of each candidate that is prepared pursuant to this section. The statement of each candidate will be printed in type of uniform size and darkness, and with uniform spacing. § 13307(b)

All Candidate's Statements shall remain confidential until the expiration of the filing deadline. § 13311

All Candidate's Statements written in the third person must also include the name of the candidate at the end of the statement and must be included in the word count.

Costs of providing statements to voters shall be paid for by the candidates.

The City Clerk will require each candidate filing a Candidate's Statement to pay in advance as a condition of having their statement included in the Voter Information Guide. The cost is calculated to recover expenses for translation into the required languages, typesetting, printing, and labor in the processing of candidates' statements. Payment may be made by cash, check, money order, certified check, and credit card (MasterCard, Visa, American Express, and Discover). **§13307(d)**

In the event that a candidate pays for a statement by check and the check is returned by the bank due to insufficient funds, the candidate will have 24 hours to pay for the statement by cash, money order, certified check, or credit card (MasterCard, Visa, American Express, and Discover). If payment is not received by the deadline, the statement will not be printed in the Voter Information Guide. **§ 13307(d)**

The candidate must also sign a Candidate's Statement Agreement at the time the statement is filed. A copy of the signed Agreement and signed Statement will be given to the candidate. **§13307(d)**

NOTE: Pursuant to minority language provisions of the Federal Voting Rights Act of 1965, Orange County is required to provide election materials in the Chinese, Korean, Spanish, and Vietnamese languages in addition to English. The materials covered by this Act include candidate's statements. Therefore, all estimated costs include translating and printing of candidate's statements in the Chinese, Korean, Spanish, and Vietnamese languages. These materials will be provided to voters who have requested Chinese, Korean, Spanish or Vietnamese language election materials

Nothing in the foregoing shall be deemed to make any statement or the authors thereof free or exempt from any civil or criminal action or penalty because of any false, slanderous or libelous statements offered for printing or contained in the voter's guide. **§13307(e)**

Before the nomination 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 for the electronically distributed Candidate's Statement. This decision shall not be revoked or modified after the seventh day prior to the opening of the nominating period. A written statement of the regulations with respect to charges for handling, packaging, and mailing shall be provided to each candidate or his/her representative at the time he/she picks up the Nomination Papers. **§13307(f)**

PUBLIC REVIEW PERIOD : For all Candidate's Statements filed on or before **August 9, 2024**, the public review period is **August 10, 2024 through August 19, 2024, 5:00 P.M.** For all Candidate's Statements filed during the extended filing period ending on August 14, 2024, the public review period is **August 15, 2024 through August 24, 2024, 5:00 P.M.** **§13313**

CHALLENGING A CANDIDATE STATEMENT: A person may challenge a Candidate Statement in court during the Public Review Period. A person may file a writ of mandate or injunction to require the candidate statement to be amended. **§13314**

No Candidate's Statement may be changed by the candidate after the statement has been filed except as specifically requested by the elections official or mandated by the court to change an unacceptable Candidate's Statement. **§13307(a)(3)**

PAGE INTENTIONALLY
LEFT BLANK

RESOLUTION NO. 2024-024

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF
SANTA ANA ADOPTING REGULATIONS FOR
CANDIDATES FOR ELECTIVE OFFICE PERTAINING TO
CANDIDATE STATEMENTS SUBMITTED TO THE VOTERS
AT AN ELECTION TO BE HELD ON TUESDAY, NOVEMBER
5, 2024

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 costs of the candidate's statement;

NOW, THEREFORE, BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF SANTA ANA AS FOLLOWS:

Section 1. GENERAL PROVISIONS.

That pursuant to §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 Santa Ana on November 5, 2024 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 themselves. The statement shall not include party affiliation of the candidate, nor membership or activity in partisan political organizations. The statement shall be filed in typewritten form in the office of the City Clerk at the same 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 date after the close of the nomination period, except as provided in §13309 of the Elections Code of the State of California.

Section 2. FOREIGN LANGUAGE POLICY.

A. Pursuant to the Federal Voting Rights Act, candidate statements will be translated into all languages required by the County of Orange. The County is required to translate candidate statements into the following languages:

Spanish, Vietnamese, Chinese, Korean.

B. The Orange County Registrar of Voters shall have all candidate statements translated into the languages specified in Section 2.A. above, print all translations of the candidate statements in the voter information guide, and these translations

shall be made available at all vote centers and in the City Clerk's office, upon request.

Section 3. **PAYMENT.**

The City Clerk shall provide the total cost of printing, handling, translating, and mailing the candidate statements filed pursuant to this resolution, including costs incurred as a result of complying with the Voting Rights Act of 1965 (as amended), and require each candidate filing a statement to pay in advance to the local agency their pro rata share as a condition of having their statement included in the voter information guide. The City Clerk 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 City Clerk may require the candidate to pay the balance of the cost incurred. In the event of overpayment, the City Clerk shall prorate the excess amount among the candidates and refund the excess amount paid within 30 days following receipt of an invoice from the County of Orange for election services rendered.

The Orange County Registrar of Voters has provided the following estimated cost of translating, posting, printing, handling, and mailing of 200-word candidate statements for candidates for elective office in the City of Santa Ana:

<u>Position</u>	<u>Printed in Voter Information Guide and Posted Online</u>	<u>Posted Online Only</u>
Mayor	\$1,560.16	\$509.82
Ward 1 Councilmember	\$731.33	\$509.82
Ward 3 Councilmember	\$703.11	\$509.82
Ward 5 Councilmember	\$652.67	\$509.82

Section 4. **ADDITIONAL MATERIALS.**

No candidate will be permitted to include additional materials in the sample ballot package/voter information guide.

Section 5. That the City Clerk shall provide each candidate or the candidate's representative a copy of this Resolution at the time nominating papers are issued.

Section 6. That all previous resolutions establishing Council policy on payment for candidate statements are repealed.

Section 7. That this Resolution shall apply only to the election to be held on November 5, 2024.

Section 9. This Resolution shall take effect immediately upon its adoption by the City Council and the City Clerk shall attest to and certify the vote adopting this Resolution.

ADOPTED this 4th day of June, 2024.


Valerie Amezcu
Mayor

APPROVED AS TO FORM:

Sonia R. Carvalho

City Attorney

By: Laura A. Rossini

Laura A. Rossini

Chief Assistant City Attorney

AYES:	Councilmembers	<u>Amezcu, Bacerra, Hernandez, Lopez,</u> <u>Penaloza, Phan, Vazquez (7)</u>
NOES:	Councilmembers	<u>None (0)</u>
ABSTAIN:	Councilmembers	<u>None (0)</u>
ABSENT:	Councilmembers	<u>None (0)</u>

CERTIFICATE OF ATTESTATION AND ORIGINALITY

I, JENNIFER L. HALL, City Clerk, do hereby attest to and certify the attached Resolution No. 2024 -024 to be the original resolution adopted by the City Council of the City of Santa Ana on June 4, 2024.

Date: 6/12/2024


Jennifer L. Hall
City Clerk, Elections Official
City of Santa Ana



PAGE INTENTIONALLY
LEFT BLANK

Contest ID: _____

Candidate ID : _____

Words: _____

[] 200 [] 400

November 5, 2024

Candidate's Statement of Qualifications

CITY OF: _____

OFFICE SOUGHT: _____

WARD/DISTRICT # _____ (If applicable)

NAME: _____

AGE: _____
(Optional)

OCCUPATION: _____

INSTRUCTIONS: (Elections Code § 13307)

1. Signed and dated statement must be filed in the Registrar of Voters office at the time final nomination documents are filed. A copy will be given to the candidate.
2. This statement is printed at candidate's expense and should reflect the candidate's qualifications.

Date _____

Candidate's Signature

SEE BACK-SIDE OF THIS PAGE FOR CANDIDATE'S STATEMENT FORMATTING GUIDELINES.

CANDIDATE'S STATEMENT FORMATTING GUIDELINES

The Registrar of Voters office has a semi-automated system for voter information guide input/layout of Candidate's Statement of Qualifications. Due to the volume of statements and printing deadlines, it is necessary to have a standardized format for candidates' statements. We have prepared the following guidelines to assist candidates in the preparation of their statements.

1. The following paragraph styles are acceptable with this system.

INDENTED PARAGRAPHS:

Xxxxx xxxxx xxxxxxxxxxxx xxxxx xxxxx. X xxxx xx xxxxxxxxxxxx xxxxxxxxxxxx xxxxxxxxxxxx xxxxxxxxxxxx
xx xxx xxxxx. Xxx xxxxx xxxxxxxxxxxx xxxxx xx xx.

Xxxx xxxxxxxxxxxx xx x x xxxxxxxxxxxx x xxxxxx xxxxx. Xxx xxxxxx xxxxxx xxxxx xx xxx xxxxx xxx xxxxxx.
Xx xxxxx xxx.

BLOCK PARAGRAPHS:

Xxxxx xxxxxxxx xxxxx. Xxxx x xx xxxxx xxxxxxxxxxxx xxx. Xxxx xxx xxx xxxxxxxxxxxx. Xxxxxxx xx x xxxxxxxx xx
xx
xxxx. X xxx xxxxx xxx x xx xxx. Xxx xxx xxx xxxxxxxx xxxxx xxx.

Xxx xxxxxx xxx. Xx xxx xxxxxxxx xxxxxxx xxxxx. X xxx xxxxx xxxxxxx xxxxx xxx. Xxxxx xxxxxxxxxxxxxxxxx xx
xx
x xx xxx xxx. Xxx xxxxx xxxxxxxxxxx xxxxx xxx. Xxx xxxxx xxxxxxx xxxxxxx xxxxx.

DO NOT USE ANY PARAGRAPH/FORMAT STYLE OTHER THAN THOSE LISTED ABOVE.

2. All statements must be submitted on our form or typed or printed by automated equipment. **DO NOT PRINT ANY STATEMENT ON LINED PAPER.**

3. NOTE: Name, age, and occupation lines are not included in the word count. Only the text is counted. **The words reflected in the "Occupation" field must follow the ballot designation guidelines.**

4. Do not underline or **bold** WORDS; words may NOT be all CAPITAL letters. §13307

5. Do not use *italics* or different type styles or type sizes to highlight portions of the statement. §13307

6. A 200-word statement must fit on one quarter of a Voter Guide page. A 400-word statement must fit on a half page of a Voter Guide page. If your statement exceeds this limitation we will be forced to adjust your format to fit in the space allowed.

7. Do not use bullet points, stars, asterisks, or numbers that function as bullet points to off-set paragraphs. **Excessive number of paragraphs or block-indentation in a Candidate's Statement may cause the statement to not fit in the allotted space even though the word count hasn't exceeded the maximum number of words. If the statement does not fit into the box, you will be asked to edit your statement. Keep this in mind as you write and format your statement.**

8. You may block indent a paragraph as long as you do not use bullet points, stars, asterisks or numbers.

Use these general guidelines to assist you in the preparation of your statement. There are other requirements regarding the content of your statement that are outlined in your Candidate's Handbook.

CHECK YOUR STATEMENT CAREFULLY FOR ERRORS IN SPELLING, PUNCTUATION, AND GRAMMAR BEFORE FILING. WITH THE EXCEPTION OF THE FORMATTING REQUIREMENTS, YOUR STATEMENT WILL BE PRINTED EXACTLY AS SUBMITTED.

WORD COUNT STANDARD FOR CANDIDATE'S STATEMENT OF QUALIFICATIONS (§9 – entire page)

Each word shall be counted as one word except as specified on this page.

The following are the guidelines for computing the word count:

The title of the office, name, district, age, and occupation lines are not included in the word count –only the text is counted. For voter-nominated offices, the party preference line is also not included in the word count.

Punctuation marks are not included in the word count.

Symbols such as "&" (and), and "#" (number/pound) are not considered punctuation..... each symbol is counted as one word

Dictionary words.....one word
The words "a", "the", "and", and "an" are counted as individual words.

All proper nouns including geographical names and names of persons.....one word
Examples: County of Orange, Orange County, San Juan Capistrano, City of Brea, Gus Enright, Jane Smith.

Abbreviations - UCLA, U.C.L.A., PTA, P.T.A., USMC, U.S.M.C.....one word

Acronyms.....one word

Regularly hyphenated words appearing in any generally available standard reference dictionary published in the United States within 10 years preceding the election. (Each part of all other hyphenated words shall be counted as a separate word).....one word

Dates.....one word

Whole numbers - Digits (1 or 10 or 100, etc.).....one word
Spelled out (one or ten or one hundred).....each word counts as one word

Names of things.....each word counts as one word
L.A. basketball team (three words)

Numeric combinations (1973, 18 1/2, 1971-73, 5%).....one word

Monetary amounts (if the dollar sign is used with figures - \$1,000).....one word
Spelled out (one thousand dollars).....each word counts as one word

Telephone/fax numbers.....one word

E-mail and website addresses.....one word

If the text exceeds the word limit, the candidate must delete or change a sufficient number of words, or a sentence, to put the statement within the required word limit before the statement is filed. The candidate should correct any misspellings before the statement is filed. **Other than formatting requirements, your statement will be printed as filed.**

The submitted statement must be typed. No word will be printed in "ALL CAPS", bolding or underlining. Do not use bullet points, stars, asterisks, or numbers that function as bullet points to block-indent paragraphs.

PAGE INTENTIONALLY
LEFT BLANK

CALIFORNIA ELECTIONS CODE

STATEMENT OF FINANCIAL WORTH

DIVISION 13. BALLOTS, SAMPLE BALLOTS, AND VOTER PAMPHLETS [13000 - 13502.5]

(Division 13 enacted by Stats. 1994, Ch. 920, Sec. 2.)

CHAPTER 4. State and County Voter Information Guides [13300 - 13317]

(Heading of Chapter 4 amended by Stats. 2016, Ch. 422, Sec. 63.)

13309.

(a) Notwithstanding Section 13307, if a candidate alleges to be indigent and unable to pay in advance the requisite fee for submitting a candidate statement, the candidate shall submit to the local agency a statement of financial worth to be used in determining whether or not he or she is eligible to submit a candidate statement without payment of the fee in advance.

(b) The statement of financial worth required by this section shall be submitted by the candidate together with his or her candidate statement in accordance with the deadline specified in Section 13307. The statement of financial worth form shall be furnished by the local agency, and may include questions relating to the candidate's employer, income, real estate holdings, tangible personal property, and financial obligations. The candidate shall certify the content of the statement as to its truth and correctness under penalty of perjury. The candidate shall also sign a release form of the candidate's most recent federal income tax report.

(c) Upon receipt of a statement of financial worth, a determination shall be made by the local agency of whether or not the candidate is indigent. The local agency shall notify the candidate of its findings.

(d) If it is determined that the candidate is not indigent, the candidate shall, within three days of the notification, excluding Saturdays, Sundays, and state holidays, withdraw the statement or pay the requisite fee. If the candidate fails to respond within the time prescribed, the local agency shall not be obligated to print and mail the statement.

(e) If the local agency determines that the candidate is indigent, the local agency shall print and mail the statement.

(f) Nothing in this section shall prohibit the local agency from billing the candidate his or her actual pro rata share of the cost after the election.

(Amended by Stats. 2013, Ch. 560, Sec. 11. (AB 1417) Effective January 1, 2014.)

PAGE INTENTIONALLY
LEFT BLANK

STATEMENT OF FINANCIAL WORTH

AFFIDAVIT OF FINANCIAL WORTH IN SUPPORT OF APPLICATION TO FILE CANDIDATE'S STATEMENT WITHOUT ADVANCE PAYMENT OF ESTIMATED COSTS

NOTICE TO CANDIDATE:

This Office will review and make a final determination of your eligibility as an indigent as soon as possible after submittal of this form.

If this Office determines that you are not indigent, you will be notified of this finding. Within three days of notification, excluding 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, this office will not print and mail the statement.

If it is determined that you are indigent this office shall print and mail the statement without requesting payment of the estimated cost. This, however, does not relieve you of your obligation to pay the candidate statement cost in the manner established by this Office.

PLEASE TYPE OR PRINT LEGIBLY

I, _____ state that I am unable to pay in advance the \$ _____ estimated cost required by the Election
Official of Santa Ana to file a Candidate Statement for the office of _____
to be printed and distributed to the voters at the election to be held on November 5, 2024.

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.

1. Social Security No. _____

2. Driver's License No. _____

3. Name, address and telephone of your employer.

Name _____

Address _____

City/State/Zip _____

Telephone _____

4. Occupation _____

Gross Monthly Income _____

5. Other Sources of Income (Rents, interest, dividends, etc.) and monthly amount from each.

6. Ownership of real estate, stocks, bonds, notes, autos and \$ value of each listed.

7. Banking institutions name, address, account number, value of each account.

STATEMENT OF FINANCIAL WORTH (continued)

8. List the individuals who are dependent upon you for your support. State their age and your relationship to those individuals.

I understand that this affidavit will be referred to this Office for a determination of indigency. I understand that if I am found to be indigent I am obligated to pay the Candidate Statement cost in the manner established by this Office. I further understand that if this Office determines that I am not indigent I must either pay the requisite cost or withdraw the statement within the time prescribed by law.

I agree to release a signed copy of my most recent federal income tax report.

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 _____, California this _____
day of _____.

(Name of Candidate)

(Signature of Candidate)

(Residence Address)

(City & Zip)

(Home Phone) / (Work Phone)

(Pursuant to Election Code Section 13309)

FOR OFFICIAL USE ONLY:

Determination: _____ Indigent _____ Must Pay in Advance

Date: _____

RESOLUTION NO. 2008-039

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF
SANTA ANA ESTABLISHING A CODE OF ETHICS AND
CONDUCT FOR ELECTED OFFICIALS AND MEMBERS
OF APPOINTED BOARDS, COMMISSIONS AND
COMMITTEES

BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF SANTA ANA, AS
FOLLOWS:

Section 1: The City Council of the City of Santa Ana ("Council") hereby finds,
determines and declares as follows:

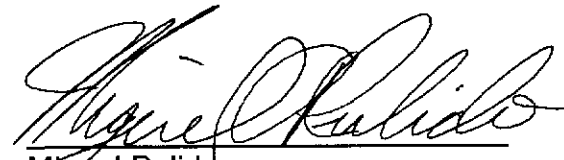
- A. On February 5, 2008, Measure D was approved by the voters of the City of Santa Ana, thereby adding Section 401.05 to the City of Santa Ana City Charter.
- B. Charter Section 401.05 requires the adoption of a Code of Ethics and Conduct for elected officials and members of appointed boards, commissions and committees within six months of the effective date of Charter Section 401.05.
- C. Adoption of a Code of Ethics and Conduct on or before September 5, 2008, would comply with these provisions.
- D. On March 3, 2008, the City Council approved the formation of a three member ad hoc committee to meet, develop and present a Code of Ethics and Conduct for City Council consideration.
- E. The Code of Ethics and Conduct is intended to provide high standards of conduct for all elected officials and members of appointed boards, commissions, and committees.
- F. The Code of Ethics and Conduct is intended to increase public confidence in City Government.
- G. The Code of Ethics and Conduct is intended to assist elected and appointed officials with decision-making.
- H. The Code of Ethics and Conduct represents a commitment by Santa Ana public officials to uphold a standard of integrity above and beyond that required by law.
- I. The ad hoc committee and staff have made presentations to all of the City Boards and Commissions to explain the purpose of the Code of Ethics and Conduct and to seek their input on the Code.

J. The City Council conducted a work study session on May 19, 2008 and heard public testimony related to the Code of Ethics and Conduct at its May 19 and June 2 City Council meetings.


Section 2: The City Council hereby approves the Code of Ethics and Conduct attached hereto as Exhibit 1.

Section 3: This Resolution shall take effect immediately upon its adoption by the City Council, and the Clerk of the Council shall attest to and certify the vote adopting this Resolution.

ADOPTED this 2nd day of June, 2008.


Miguel Pulido
Mayor

APPROVED AS TO FORM:
Joseph W. Fletcher, City Attorney

By: 
Jose Sandoval
Senior Assistant City Attorney

AYES: Councilmembers: Alvarez, Benavides, Bustamante, Martinez, Pulido, Sarmiento, Tinajero (7)

NOES: Councilmembers: None (0)

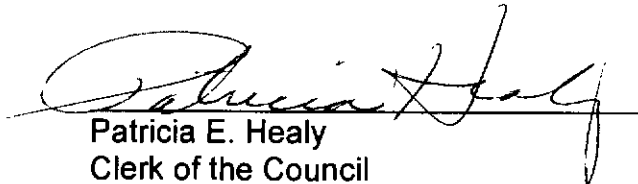
ABSTAIN: Councilmembers: None (0)

NOT PRESENT: Councilmembers: None (0)

CERTIFICATE OF ATTESTATION AND ORIGINALITY

I, PATRICIA E. HEALY, Clerk of the Council, do hereby attest to and certify the attached Resolution No. 2008-039 to be the original resolution adopted by the City Council of the City of Santa Ana on June 2, 2008.

Date: 6-04-08


Patricia E. Healy
Clerk of the Council
City of Santa Ana

Page intentionally left blank

**CITY OF SANTA ANA
CODE OF ETHICS AND CONDUCT
APPROVED JUNE 2, 2008**

The people of the City of Santa Ana, at an election held on February 5, 2008, approved an amendment to the City Charter of the City of Santa Ana which states: "The City of Santa Ana shall adopt a Code of Ethics and Conduct for elected officials and members of appointed boards, commissions, and committees to assure public confidence in the integrity of local government elected and appointed officials." Consistent with the vote of the people, the following Code of Ethics and Conduct is hereby adopted by the City of Santa Ana to ensure effective and fair operation of the local government of the City of Santa Ana.

I.

PREAMBLE

It is the intent of this code to achieve fair, ethical, and accountable local government for the City of Santa Ana. The people of Santa Ana expect public officials, both elected and appointed, to comply with both the letter and the spirit of the laws of the State of California, the United States of America, and the Charter, Municipal Code, and established policies of the City of Santa Ana affecting the operations of local government. In addition, public officials are expected to comply with the provisions of this Code of Ethics and Conduct established pursuant to the expressed will of the people. All persons covered by this code will aspire to meet the highest ethical standards in the conduct of their responsibility as an elected or appointed official of the City of Santa Ana.

This code addresses various aspects related to the governance of the City of Santa Ana and supplements, but does not supplant other laws and rules that prescribe the legal responsibilities of City officials. These include, but are not limited to, the Federal and State Constitutions, various provisions of the California Government Code (such as the Brown Act and the Political Reform Act), the Labor Code, laws prohibiting discrimination and harassment, and the City of Santa Ana Charter and Municipal Code. Elected and appointed officials are expected to be familiar with these laws to ensure that they exercise their public responsibilities in a proper fashion. This code is not designed to be used as a tool to remove appointed officials, as the City Council retains the right under the Charter and Municipal Code to remove appointed officials in accordance with those provisions.

While it is not possible to anticipate and provide a rule of conduct and ethics for all situations that public officials may face, this Code of Ethics and Conduct is designed to provide a framework to guide public officials in their daily duties.

Exhibit 1

II.

SCOPE

The provisions of this Code of Ethics and Conduct shall apply to the Mayor and members of the City Council, and to all members of the boards, commissions, and committees appointed by the City Council or the Mayor or the Mayor and City Council, including any *ad hoc* committees. Further, the provisions of this Code of Ethics and Conduct shall only apply to these officials and members acting in their official capacities and in the discharge of their duties.

III.

CORE VALUES

Attitudes, words, and actions should demonstrate, support, and reflect the following qualities and characteristics for the well being of our community. The five core values and expressions that reflect these core values are as follows:

INTEGRITY/ HONESTY

- I am honest with my fellow elected officials, the public and others.
- I do not promise what I believe to be unrealistic.
- I am prepared to make unpopular decisions when my sense of the public's best interests requires it.
- I credit others' contributions to moving our community's interests forward.
- I do not knowingly use false or inaccurate information to support my position or views.
- I safeguard the ability to make independent, objective, fair and impartial judgments by scrupulously avoiding financial and social relationships and transactions that may compromise, or give the appearance of compromising, objectivity, independence, and honesty.

RESPONSIBILITY/PROTECTING THE PUBLIC'S INTERESTS

- I do not accept gifts, services or other special considerations because of my public position.
- I excuse myself from participating in decisions when my or my immediate family's financial interests may be affected by my agency's actions.
- I do not give special treatment or consideration to any individual or group beyond that available to any other individual.
- I refrain from disclosing confidential information concerning litigation, personnel, property, or other affairs of the City, without proper legal authority, nor use such information to advance my financial or other personal interests.

FAIRNESS/ACCOUNTABILITY

- I promote meaningful public involvement in the agency's decision-making processes.
- I treat all persons, claims and transactions in a fair and equitable manner; I make decisions based on the merits of the issue.
- If I receive substantive information that is relevant to a matter under consideration from sources outside the public decision-making process, I publicly share it with my fellow governing board members and staff.
- I work to contribute to a strong organization that exemplifies transparency and open communication.

RESPECT FOR FELLOW ELECTED OR APPOINTED OFFICIALS, STAFF, AND THE PUBLIC

- I treat my fellow officials, staff and the public with patience, courtesy and civility, even when we disagree on what is best for the community.
- I work towards consensus building and gain value from diverse opinions.
- I respect the distinction between the role of office holder and staff; I involve staff in meetings with individuals, those with business before the agency, officials from other agencies and legislators to ensure proper staff support and to keep staff informed
- I conduct myself in a courteous and respectful manner at all times during the performance of my official City duties.
- I encourage full participation of all persons and groups; I am aware and observe important celebrations and events which reflect the values of our diverse population.

PROPER AND EFFICIENT USE OF PUBLIC RESOURCES

- I do not use public resources, such as agency staff time, equipment, supplies or facilities, for private gain or personal purposes.
- I make decisions after prudent consideration of their financial impact, taking into account the long-term financial needs of the agency, especially its financial stability.
- I demonstrate concern for the proper use of agency assets (such as personnel, time, property, equipment, funds) and follow established procedures.
- I am a prudent steward of public resources and actively consider the impact of my decisions on the financial and social stability of the City and its residents.

IV.

IMPLEMENTATION AND ENFORCEMENT

City of Santa Ana elected and appointed officials of the various boards, commissions and committees have the primary responsibility to assure that ethical standards are understood and met, and that the public can continue to have full confidence in the integrity of government. This code of ethics will be most effective

when the elected and appointed officials are thoroughly familiar with it and embrace its provisions.

Upon adoption of this code, all current elected or appointed officials shall be given a copy of the code and asked to affirm in writing that they have received the code, understand its provisions, and pledge to conduct themselves by the code. All new members of the City Council, upon election or reelection, and members of boards, commissions, and committees appointed by the City Council, upon appointment or reappointment, shall be given a copy of the code and are required to affirm in writing they have received the code and understand its provisions, and pledge to conduct themselves by the code. (See Attachment) Additionally, all members of the City Council, boards, commissions, and committees, as part of their AB1234 training, shall be provided additional training clarifying the provisions and application of this code. The City Attorney, or his/her designee, shall serve as a resource person to those persons covered by the code to assist them in determination of appropriate actions consistent with the code.

A periodic review of the code shall be conducted to ensure that the code is an effective and vital document.

This Code of Conduct is intended to be a reflection of the community's values as articulated by the Mayor and City Council as they represent the will of the people of the City of Santa Ana.

ATTACHMENT

CERTIFICATION

As an elected or appointed official of the City of Santa Ana, California, I herein certify that I have received a copy of the Code of Ethics and Conduct of the City of Santa Ana, have been offered training and assistance in understanding this code, and am aware of the provisions of the code and its application to my responsibilities. Consistent with the code, I pledge the following in the conduct of my duties:

INTEGRITY/ HONESTY

- I am honest with my fellow elected officials, the public and others.
- I do not promise what I believe to be unrealistic.
- I am prepared to make unpopular decisions when my sense of the public's best interests requires it.
- I credit others' contributions to moving our community's interests forward.
- I do not knowingly use false or inaccurate information to support my position or views.
- I safeguard the ability to make independent, objective, fair and impartial judgments by scrupulously avoiding financial and social relationships and transactions that may compromise, or give the appearance of compromising, objectivity, independence, and honesty.

RESPONSIBILITY/PROTECTING THE PUBLIC'S INTERESTS

- I do not accept gifts, services or other special considerations because of my public position.
- I excuse myself from participating in decisions when my or my family's financial interests may be affected by my agency's actions.
- I do not give special treatment or consideration to any individual or group beyond that available to any other individual.
- I refrain from disclosing confidential information concerning litigation, personnel, property, or other affairs of the City, without proper legal authority, nor use such information to advance my financial or other personal interests.

FAIRNESS/ACCOUNTABILITY

- I promote meaningful public involvement in the agency's decision-making processes.
- I treat all persons, claims and transactions in a fair and equitable manner; I make decisions based on the merits of the issue.
- If I receive substantive information that is relevant to a matter under consideration from sources outside the public decision-making process, I publicly share it with my fellow governing board members and staff.
- I work to contribute to a strong organization that exemplifies transparency and open communication.

RESPECT FOR FELLOW ELECTED OR APPOINTED OFFICIALS, STAFF, AND THE PUBLIC

- I treat my fellow officials, staff and the public with patience, courtesy and civility, even when we disagree on what is best for the community.
- I work towards consensus building and gain value from diverse opinions.
- I respect the distinction between the role of office holder and staff; I involve staff in meetings with individuals, those with business before the agency, officials from other agencies and legislators to ensure proper staff support and to keep staff informed
- I conduct myself in a courteous and respectful manner at all times during the performance of my official City duties.
- I encourage full participation of all persons and groups; I am aware and observe important celebrations and events which reflect the values of our diverse population.

PROPER AND EFFICIENT USE OF PUBLIC RESOURCES

- I do not use public resources, such as agency staff time, equipment, supplies or facilities, for private gain or personal purposes.
- I make decisions after prudent consideration of their financial impact, taking into account the long-term financial needs of the agency, especially its financial stability.
- I demonstrate concern for the proper use of agency assets (such as personnel, time, property, equipment, funds) and follow established procedures.
- I am a prudent steward of public resources and actively consider the impact of my decisions on the financial and social stability of the City and its residents.

Signed this _____ day of _____, 2008

Name: _____

Office: _____



THE CITY OF SANTA ANA

CODE OF ETHICS AND CONDUCT

ADOPTED JUNE 2, 2008

The people of the City of Santa Ana, at an election held on February 5, 2008, approved an amendment to the City Charter of the City of Santa Ana which states: "The City of Santa Ana shall adopt a Code of Ethics and Conduct for elected officials and members of appointed boards, commissions, and committees to assure public confidence in the integrity of local government elected and appointed officials." Consistent with the vote of the people, the following Code of Ethics and Conduct is hereby adopted by the City of Santa Ana to ensure effective and fair operation of the local government of the City of Santa Ana.

I.

PREAMBLE

It is the intent of this code to achieve fair, ethical, and accountable local government for the City of Santa Ana. The people of Santa Ana expect public officials, both elected and appointed, to comply with both the letter and the spirit of the laws of the State of California, the United States of America, and the Charter, Municipal Code, and established policies of the City of Santa Ana affecting the operations of local government. In addition, public officials are expected to comply with the provisions of this Code of Ethics and Conduct established pursuant to the expressed will of the people. All persons covered by this code will aspire to meet the highest ethical standards in the conduct of their responsibility as an elected or appointed official of the City of Santa Ana.

This code addresses various aspects related to the governance of the City of Santa Ana and supplements, but does not supplant other laws and rules that prescribe the legal responsibilities of City officials. These include, but are not limited to, the Federal and State Constitutions, various provisions of the California Government Code (such as the Brown Act and the Political Reform Act), the Labor Code, laws prohibiting discrimination and harassment, and the City of Santa Ana Charter and Municipal Code. Elected and appointed officials are expected to be familiar with these laws to ensure that they exercise their public responsibilities in a proper fashion. This code is not designed to be used as a tool to remove appointed officials, as the City Council retains the right under the Charter and Municipal Code to remove appointed officials in accordance with those provisions.

While it is not possible to anticipate and provide a rule of conduct and ethics for all situations that public officials may face, this Code of Ethics and Conduct is designed to provide a framework to guide public officials in their daily duties.

II.

SCOPE

The provisions of this Code of Ethics and Conduct shall apply to the Mayor and members of the City Council, and to all members of the boards, commissions, and committees appointed by the City Council or the Mayor or the Mayor and City Council, including any *ad hoc* committees. Further, the provisions of this Code of Ethics and Conduct shall only apply to these officials and members acting in their official capacities and in the discharge of their duties.

III.

CORE VALUES

Attitudes, words, and actions should demonstrate, support, and reflect the following qualities and characteristics for the well being of our community. The five core values and expressions that reflect these core values are as follows:

INTEGRITY/ HONESTY

- I am honest with my fellow elected officials, the public and others.
- I do not promise what I believe to be unrealistic.
- I am prepared to make unpopular decisions when my sense of the public's best interests requires it.
- I credit others' contributions to moving our community's interests forward.
- I do not knowingly use false or inaccurate information to support my position or views.
- I safeguard the ability to make independent, objective, fair and impartial judgments by scrupulously avoiding financial and social relationships and transactions that may compromise, or give the appearance of compromising, objectivity, independence, and honesty.

RESPONSIBILITY/PROTECTING THE PUBLIC'S INTERESTS

- I do not accept gifts, services or other special considerations because of my public position.
- I excuse myself from participating in decisions when my or my immediate family's financial interests may be affected by my agency's actions.
- I do not give special treatment or consideration to any individual or group beyond that available to any other individual.
- I refrain from disclosing confidential information concerning litigation, personnel, property, or other affairs of the City, without proper legal authority, nor use such information to advance my financial or other personal interests.

FAIRNESS/ACCOUNTABILITY

- I promote meaningful public involvement in the agency's decision-making processes.
- I treat all persons, claims and transactions in a fair and equitable manner; I make decisions based on the merits of the issue.
- If I receive substantive information that is relevant to a matter under consideration from sources outside the public decision-making process, I publicly share it with my fellow governing board members and staff.
- I work to contribute to a strong organization that exemplifies transparency and open communication.

RESPECT FOR FELLOW ELECTED OR APPOINTED OFFICIALS, STAFF, AND THE PUBLIC

- I treat my fellow officials, staff and the public with patience, courtesy and civility, even when we disagree on what is best for the community.
- I work towards consensus building and gain value from diverse opinions.
- I respect the distinction between the role of office holder and staff; I involve staff in meetings with individuals, those with business before the agency, officials from other agencies and legislators to ensure proper staff support and to keep staff informed
- I conduct myself in a courteous and respectful manner at all times during the performance of my official City duties.
- I encourage full participation of all persons and groups; I am aware and observe important celebrations and events which reflect the values of our diverse population.

PROPER AND EFFICIENT USE OF PUBLIC RESOURCES

- I do not use public resources, such as agency staff time, equipment, supplies or facilities, for private gain or personal purposes.
- I make decisions after prudent consideration of their financial impact, taking into account the long-term financial needs of the agency, especially its financial stability.
- I demonstrate concern for the proper use of agency assets (such as personnel, time, property, equipment, funds) and follow established procedures.
- I am a prudent steward of public resources and actively consider the impact of my decisions on the financial and social stability of the City and its residents.

IV.

IMPLEMENTATION AND ENFORCEMENT

City of Santa Ana elected and appointed officials of the various boards, commissions and committees have the primary responsibility to assure that ethical standards are understood and met, and that the public can continue to have full confidence in the integrity of government. This code of ethics will be most effective when the elected and appointed officials are thoroughly familiar with it and embrace its provisions.

Upon adoption of this code, all current elected or appointed officials shall be given a copy of the code and asked to affirm in writing that they have received the code, understand its provisions, and pledge to conduct themselves by the code. All new members of the City Council, upon election or reelection, and members of boards, commissions, and committees appointed by the City Council, upon appointment or reappointment, shall be given a copy of the code and are required to affirm in writing they have received the code and understand its provisions, and pledge to conduct themselves by the code. (See Attachment) Additionally, all members of the City Council, boards, commissions, and committees, as part of their AB1234 training, shall be provided additional training clarifying the provisions and application of this code. The City Attorney, or his/her designee, shall serve as a resource person to those persons covered by the code to assist them in determination of appropriate actions consistent with the code.

A periodic review of the code shall be conducted to ensure that the code is an effective and vital document.

This Code of Conduct is intended to be a reflection of the community's values as articulated by the Mayor and City Council as they represent the will of the people of the City of Santa Ana.

CITY OF SANTA ANA – CODE OF ETHICS AND CONDUCT

CERTIFICATION

As an elected or appointed official of the City of Santa Ana, California, I herein certify that I have received a copy of the Code of Ethics and Conduct of the City of Santa Ana, have been offered training and assistance in understanding this code, and am aware of the provisions of the code and its application to my responsibilities. Consistent with the code, I pledge the following in the conduct of my duties:

INTEGRITY/ HONESTY

- I am honest with my fellow elected officials, the public and others.
- I do not promise what I believe to be unrealistic.
- I am prepared to make unpopular decisions when my sense of the public's best interests requires it.
- I credit others' contributions to moving our community's interests forward.
- I do not knowingly use false or inaccurate information to support my position or views.
- I safeguard the ability to make independent, objective, fair and impartial judgments by scrupulously avoiding financial and social relationships and transactions that may compromise, or give the appearance of compromising, objectivity, independence, and honesty.

RESPONSIBILITY/PROTECTING THE PUBLIC'S INTERESTS

- I do not accept gifts, services or other special considerations because of my public position.
- I excuse myself from participating in decisions when my or my family's financial interests may be affected by my agency's actions.
- I do not give special treatment or consideration to any individual or group beyond that available to any other individual.
- I refrain from disclosing confidential information concerning litigation, personnel, property, or other affairs of the City, without proper legal authority, nor use such information to advance my financial or other personal interests.

FAIRNESS/ACCOUNTABILITY

- I promote meaningful public involvement in the agency's decision-making processes.
- I treat all persons, claims and transactions in a fair and equitable manner; I make decisions based on the merits of the issue.
- If I receive substantive information that is relevant to a matter under consideration from sources outside the public decision-making process, I publicly share it with my fellow governing board members and staff.

- I work to contribute to a strong organization that exemplifies transparency and open communication.

RESPECT FOR FELLOW ELECTED OR APPOINTED OFFICIALS, STAFF, AND THE PUBLIC

- I treat my fellow officials, staff and the public with patience, courtesy and civility, even when we disagree on what is best for the community.
- I work towards consensus building and gain value from diverse opinions.
- I respect the distinction between the role of office holder and staff; I involve staff in meetings with individuals, those with business before the agency, officials from other agencies and legislators to ensure proper staff support and to keep staff informed
- I conduct myself in a courteous and respectful manner at all times during the performance of my official City duties.
- I encourage full participation of all persons and groups; I am aware and observe important celebrations and events which reflect the values of our diverse population.

PROPER AND EFFICIENT USE OF PUBLIC RESOURCES

- I do not use public resources, such as agency staff time, equipment, supplies or facilities, for private gain or personal purposes.
- I make decisions after prudent consideration of their financial impact, taking into account the long-term financial needs of the agency, especially its financial stability.
- I demonstrate concern for the proper use of agency assets (such as personnel, time, property, equipment, funds) and follow established procedures.
- I am a prudent steward of public resources and actively consider the impact of my decisions on the financial and social stability of the City and its residents.

Signature: _____ Dated: _____

CODE OF FAIR CAMPAIGN PRACTICES

This optional document encourages ethical behavior by candidates running for public office. The City Clerk is required by the Elections Code to provide candidates with a blank Code of Fair Campaign Practices form and a copy of the Elections Code sections pertaining to the Fair Campaign Practices Code. The intent of the legislature in approving this chapter in the Elections Code is to encourage every candidate for public office to subscribe to the Code of Fair Campaign Practices and follow the basic principles of decency, honesty, and fair play in order that, after vigorously contested but fairly conducted campaigns, the citizens may exercise their constitutional right to vote.

PAGE INTENTIONALLY
LEFT BLANK

CODE OF FAIR CAMPAIGN PRACTICES

(Division 20, Chapter 5, Elections Code.)

Chapter 5. Fair Campaign Practices

Article 1. General Intent

20400. The Legislature declares that the purpose of this chapter is to encourage every candidate for public office in this state to subscribe to the Code of Fair Campaign Practices.

It is the ultimate intent of the Legislature that every candidate for public office in this state who subscribes to the Code of Fair Campaign Practices will follow the basic principles of decency, honesty, and fair play in order that, after vigorously contested, but fairly conducted campaigns, the citizens of this state may exercise their constitutional right to vote, free from dishonest and unethical practices which tend to prevent the full and free expression of the will of the voters.

The purpose in creating the Code of Fair Campaign Practices is to give voters guidelines in determining fair play and to encourage candidates to discuss issues instead of untruths or distortions.

Article 2. Definitions

20420. As used in this Chapter, "Code" means the Code of Fair Campaign Practices.

Article 3. Code of Fair Campaign Practices (summary)

20440. At the time an individual is issued his or her declaration of candidacy, nomination papers, or any other paper evidencing an intention to be a candidate for public office, the elections official shall give the individual a blank form of the code and a copy of this chapter. The elections official shall inform each candidate for public office that subscription to the code is voluntary.

In the case of a committee making an independent expenditure, as defined in Section 82031 of the Government Code, the Secretary of State shall provide a blank form and a copy of this chapter to the individual filing, in accordance with Title 9 (commencing with Section 81000) of the Government Code, an initial campaign statement on behalf of the committee.

The text of the Code shall read, as follows: (See "CODE OF FAIR CAMPAIGN PRACTICES" on reverse side).

20442. The elections official shall accept, at all times prior to the election, all completed forms that are properly subscribed to by a candidate for public office and shall retain them for public inspection until 30 days after the election.

20443. Every code subscribed to by a candidate for public office pursuant to this chapter is a public record open for public inspection.

20444. In no event shall a candidate for public office be required to subscribe to or endorse the code.

CODE OF FAIR CAMPAIGN PRACTICES

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

Signature

Date

Printed Name

November 5, 2024

Date of Election

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

Form 410 with digital signature(s)

Secretary of State
Via email at: digitalfiling@sos.ca.gov
As a PDF attachment
Must contain a verified digital signature on the Signature Line.

Please access the Secretary of State's [website](https://www.sos.ca.gov) for detailed instructions on how to submit the Form 410 with a digital signature.

Also file a copy with the local filing officer who will receive the original campaign statements.

County & City

Committees:

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, email with a verified digital signature, 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, see the FPPC Campaign Disclosure Manual for your type of committee.

Statement of Organization Recipient Committee

Statement Type

- ☐ Initial
☐ Not yet qualified
or
☐ Date qualification threshold met

- ☐ Amendment
Date qualification threshold met

- ☐ Termination – See Part 5
Date of termination

Date Stamp

CALIFORNIA
FORM 410

For Official Use Only

1. Committee Information

I.D. Number
(if applicable)

NAME OF COMMITTEE

NAME OF TREASURER

STREET ADDRESS (NO P.O. BOX)
CITY STATE ZIP CODE

EMAIL ADDRESS OF TREASURER (REQUIRED)

STREET ADDRESS (NO P.O. BOX)

NAME OF ASSISTANT TREASURER, IF ANY

CITY STATE ZIP CODE AREA CODE/PHONE

FULL MAILING ADDRESS (IF DIFFERENT)

STREET ADDRESS (NO P.O. BOX)

CITY STATE ZIP CODE

E-MAIL ADDRESS OF COMMITTEE (REQUIRED) / FAX (OPTIONAL)

EMAIL ADDRESS OF ASSISTANT TREASURER (REQUIRED)

AREA CODE/PHONE

COUNTY OF DOMICILE

JURISDICTION WHERE COMMITTEE IS ACTIVE

NAME OF PRINCIPAL OFFICER(S)

STREET ADDRESS (NO P.O. BOX)

CITY STATE ZIP CODE

Attach additional information on appropriately labeled continuation sheets.

EMAIL ADDRESS OF PRINCIPAL OFFICER(S) (REQUIRED)

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 the candidate 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

CALIFORNIA
FORM 410

Page 2

COMMITTEE NAME

I.D. NUMBER

- All committees must list the financial institution where the campaign bank account is located and the person(s) authorized to obtain bank records.

NAME OF FINANCIAL INSTITUTION AND PERSON(S) AUTHORIZED TO OBTAIN BANK RECORDS

AREA CODE/PHONE

BANK ACCOUNT NUMBER

ADDRESS OF FINANCIAL INSTITUTION

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

			Nonpartisan	Partisan	(list political party below)
			Nonpartisan	Partisan	(list political party below)

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

CALIFORNIA 410 FORM

2. Treasurer and Other Principal Officers:

A committee may have only one treasurer and one assistant treasurer. A candidate may be their 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 officer 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.

Provide the email address of the committee treasurer, assistant treasurer, and any other principal officer(s). A committee with three or fewer principal officers must identify all principal officers. If the committee has more than three principal officers, it must identify at least three principal officers.

3. Verification/Original Signature(s):

The Form 410 filed with the Secretary of State by paper must contain an original ink signature(s). The Form 410 filed with the Secretary of State by email must contain a verified digital signature(s). The committee treasurer or assistant treasurer must sign the Form 410. Also, each controlling officer, 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 their own treasurer, they 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.

- Qualified committees must also list the names of persons, other than the treasurer, who are authorized to obtain the bank records of the committee from the financial institution where the committee bank account is maintained. If there are more than two persons other than the treasurer authorized to obtain the bank records, the committee need only list two persons. Disclose the names in the "Name of Financial Institution and Person(s) Authorized to Obtain Bank Records" field. If additional space is needed, an attachment must be used.

- Non-qualified committees are not required to list a bank account or the names of those person(s) authorized to obtain the committee bank records.

4. Type of Committee:

Controlled Committee: A "controlled committee" is one which is controlled directly or indirectly by an officer, candidate, or state measure proponent, or which acts jointly with an officer, candidate, state measure proponent, or another controlled committee in connection with making expenditures.

A committee is controlled if the officer, 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 their 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.

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

CALIFORNIA 410 FORM

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.

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.

Brief Description of Organization's Political Activities:

A multipurpose organization, other than a federal or out-of-state PAC, must describe its mission or most significant activities and describe its political activities.

This description shall include all activities undertaken for the purpose of directly or indirectly supporting or opposing state or local candidates; or qualifying, supporting, or opposing, a state or local ballot measure.

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:

For 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.

For 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.

PAGE INTENTIONALLY
LEFT BLANK

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.

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.

Officeholder and Candidate
Campaign Statement –
Short Form

Date Stamp	CALIFORNIA FORM 470 For Official Use Only
Date of election if applicable: (Month, Day, Year)	<input type="checkbox"/> Amendment (Explain Below)

1. Statement Covers Calendar Year 20 ____ .

2. Officeholder or Candidate Information

NAME OF OFFICEHOLDER OR CANDIDATE	
OFFICE SOUGHT OR HELD	
STREET ADDRESS	JURISDICTION (LOCATION)
CITY	DISTRICT NUMBER (IF APPLICABLE)
STATE	ZIP CODE
AREA CODE/DAYTIME PHONE NUMBER	
OPTIONAL: FAX / E-MAIL ADDRESS	

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

CALIFORNIA FORM 470 SUPPLEMENT

Date Stamp

Amendment (Explain Below)

SEE INSTRUCTIONS ON REVERSE

This form is written notification that the officerholder/candidate listed below has received contributions totaling \$2,000 or more or has made expenditures of \$2,000 or more during the calendar year.

**CALIFORNIA
FORM
470
SUPPLEMENT**

For Official Use Only

NAME OF OFFICEHOLDER OR CANDIDATE

STREET ADDRESS

CITY _____ STATE _____ ZIP CODE _____

CITY _____ STATE _____ ZIP CODE _____

CITY _____ STATE _____ ZIP CODE _____

AREA CODE/DAYTIME PHONE NUMBER	OPTIONAL: FAX / E-MAIL ADDRESS
--------------------------------	--------------------------------

AREA CODE/DAYTIME PHONE NUMBER	OPTIONAL: FAX / E-MAIL ADDRESS
--------------------------------	--------------------------------

2. Office Sought

OFFICE SOUGHT	DISTRICT NUMBER
---------------	-----------------

OFFICE SOUGHT	DISTRICT NUMBER
---------------	-----------------

DATE OF ELECTION (MONTH, DAY YEAR)

3. Date Contributions Totalling \$2,000 or More Were Received or Date Expenditures of \$2,000 or More Were Made

(MONTH, DAY, YEAR)

WRITE-IN CANDIDATE

Any individual who desires to be a write-in candidate and have their name as written on the ballot of an election counted for a particular office may file a statement of write-in candidacy and other appropriate nomination papers in the City Clerk's Office, Room 809, City Hall, 20 Civic Center Plaza from **September 9 through October 22, 2024**.

Nomination papers that must be submitted to qualify as a write-in candidate are the same as regular candidates and described herein.

All write-in nomination papers must be filed with the City Clerk's Office no later than **5:00 p.m.** on **Tuesday, October 22, 2024**.

PAGE INTENTIONALLY
LEFT BLANK

SECTION 4

CAMPAIGN FINANCE DISCLOSURE: FORMS AND ACTIVITIES

PAGE INTENTIONALLY
LEFT BLANK

SOLICITING CAMPAIGN FUNDS

Candidates who will raise or spend \$2,000 or more in a calendar year must:

- STEP 1 – File Fair Political Practices Commission’s Candidate Intention Statement (FPPC Form 501) before soliciting or spending any funds, including the candidate’s personal funds, with the Santa Ana City Clerk, 20 Civic Center Plaza, Room 809, Santa Ana, CA 92701.
- STEP 2 – File the Statement of Organization (FPPC Form 410) within 10 days of receiving \$2,000 in contributions with the California Secretary of State, Political Reform Division, 1500 11th Street, Room 495, Sacramento, CA 95814; a copy of Form 410 must be filed with the City Clerk as well.
- STEP 3 – Open/establish a bank account after receiving your Committee Identification Number from the Secretary of State.
 - If a candidate does not intend to raise funds from others, but will be spending \$2,000 or more of their personal funds on their campaign (in addition to the filing fees and ballot statement fees), a candidate must open a bank account, even if they do not want to be reimbursed (campaign funds may not commingle with personal funds).
- STEP 4 – Pay fee to register campaign committee.
 - Campaign committees are required to pay a \$50 fee to the Secretary of State within 15 days of filing FPPC Form 410.
 - In addition, a \$50 fee is required to be paid to the Secretary of State by January 15th of each year until the committee terminates.

OTHER REGULATIONS RELATED TO CAMPAIGN COMMITTEES

- A candidate for Mayor or Councilmember shall have no more than one campaign committee and one campaign contribution account out of which all expenditures for the purpose of seeking such office shall be made (Santa Ana City Charter §1207).
- A candidate may not use campaign funds to make independent expenditures to support or oppose other local candidates.
- The Secretary of State assigns an identification number to each committee. Candidates and committees must include their assigned identification numbers on all FPPC forms filed.

- No person who serves as the treasurer of a campaign committee which receives contributions for any candidate for Mayor or Councilmember shall be eligible for appointment to any board or commission.
- If any member of an appointive board or commission shall become the treasurer of a campaign committee which receives contributions for any candidate for Mayor or Councilmember, their office shall become vacant and shall be so declared.
- A recipient committee may designate one assistant treasurer on the committee's Statement of Organization (FPPC Form 410). The assistant treasurer will assume the duties and responsibilities of the treasurer if the treasurer is unavailable or vacates the office of treasurer.

The Secretary of State maintains the public record of committees. Inquiries regarding the status of a committee (active/terminated) should be directed to the Political Reform Division at (916) 653-6224 or the Secretary of State's website: www.sos.ca.gov.

BANK ACCOUNT

- A campaign bank account must be established at an office of a financial institution located in the State of California.
- A new bank account and committee must be established to run for a different office.
- A Statement of Organization (FPPC Form 410) must be filed with the Secretary of State; a copy of the Form 410 should be filed with the City Clerk.
- All money to be used for campaign purposes, including the candidate's personal funds, must be deposited in the campaign bank account for the specific office prior to expenditure (excluding personal funds used to pay the fee for the statement of qualifications in the Voter Information Guide).

AUTHORIZED SOLICITORS (ELECTIONS CODE §20203)

A person soliciting funds for any candidate or candidate controlled committee must have the authorization of the candidate or committee *before* soliciting any funds.

A person who solicits funds without authorization from the candidate or committee, must specifically state in any fundraising communication such as radio, television, magazine, newspaper, or any type of general public advertising that they are *not* authorized by the candidate or committee, and that the candidate or committee is *not* responsible for their actions.

Candidates should consult the State Elections Code for further detail.

\$1,000 CAMPAIGN CONTRIBUTION LIMIT ([SANTA ANA CITY CHARTER §1206](#))

No person shall make, and no candidate for Mayor or City Council or campaign treasurer shall solicit or accept, any contribution or loan which would cause the total amount contributed or loaned by that person to that candidate, including contributions or loans to all committees controlled by that candidate, to exceed one thousand dollars (\$1,000.00) in any election cycle.

As used herein, "election cycle" means the period of time between the date of an election to the office of Mayor or Councilmember and the date of the next election to the same office. The election cycles run two years for the Mayor and four years for a Councilmember.

PAGE INTENTIONALLY
LEFT BLANK

CAMPAIGN REPORTING

The Political Reform Act of 1974 is codified in Government Code sections 81000 through 91014.

The Act requires all candidates, office holders, and committees supporting or opposing candidates or ballot measures to file campaign statements. The statements are designed to inform voters about:

- Who is contributing to candidate and/or committee;
- How much is being contributed; and
- Accrued expenses reported.

Failure to file the appropriate statements and reports can result in substantive criminal, civil, and/or administrative penalties.

Detailed information on campaign reporting requirements are contained in [FPPC Campaign Disclosure Manual 2](#). Specific questions should be directed to the FPPC. Information is available on the Commission's website (www.fppc.ca.gov) or toll-free at 1-866-ASK-FPPC (275-3772).

SURPLUS FUNDS

If a candidate is not elected in the municipal election, the remaining balance of funds *may* be used to run again in the next local election, provided certain requirements are met. An unsuccessful candidate who intends to run for the *same office* in a future election must file a new FPPC Form 501 and an amended FPPC Form 410 **before** the funds become surplus. Remaining 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.

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.

PAGE INTENTIONALLY
LEFT BLANK

DESCRIPTION OF CAMPAIGN FORMS

Below is a brief description of the campaign forms used by the Fair Political Practices Commission (FPPC). Refer to the campaign manual for specific filing requirements.

FPPC FORM 501: Candidate Intention Statement - Notifies interested persons that an individual intends to raise money to run for a specific office. File 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. This form does not get a candidate's name on the ballot. (For candidate-controlled committees only)

FPPC FORM 410: Statement of Organization - This statement is required when a group or person has become a campaign committee. This is the document used by committees to obtain a campaign identification number and to terminate the committee.

FPPC FORM 460: Recipient Committee - This is the campaign disclosure form used at various times by candidates and committees that raise/spend \$2,000 or more.

FPPC FORM 470: Officeholder/Candidate –Short Form- Candidates who do not have an open committee and do not raise or spend \$2,000 or more may file Form 470 on or before September 26, 2024. If later during the calendar year, a campaign committee must be opened, a Form 470 Supplement and a Form 410 must be filed. (For controlled committees only)

FPPC FORM 496: Independent Expenditure Report - Used during the final **90 days** before an election. The form advises voters when a committee has expended \$1,000 or more within 24 hours supporting or opposing a candidate or measure and is done entirely independent of the candidate or measure. Form is due within 10 days when \$5,000 or more to support or oppose the qualification of a single local ballot measure.

FPPC FORM 497: Contribution Report - Used during the final **90 days** before an election. The form is used by committees to report a contribution of \$1,000 or more within 24 hours to a candidate or measure, and used by candidates to report when they have received a contribution of \$1,000 or more.

The table below shows the campaign forms most commonly used by candidates for elected office. Column 1 is for individuals who plan to raise/spend less than \$2,000 for election purposes and column 2 for those planning to raise/spend \$2,000 or more.

RAISE / SPEND LESS THAN \$2,000		RAISE / SPEND \$2,000 OR MORE	
Getting Started			
FPPC FORM 501: Candidate Intention Statement *Original filed with City Clerk’s Office		FPPC FORM 501: Candidate Intention Statement *Original filed with City Clerk’s Office	
FPPC FORM 470: Officeholder and Candidate Campaign Statement – Short Form *Original filed with City Clerk’s Office		FPPC FORM 410: Statement of Organization for Recipient Committee *Original filed with Secretary of State and copy with City Clerk’s Office	
Regular Filings (Until Account Closed)			
		FPPC FORM 460: Recipient Committee Campaign Statement; filed semi-annually or four (4) times during Election Cycle *E-filed with City Clerk’s Office	
		FPPC FORM 496: Late Independent Expenditures of \$1,000 or more; filed during Election Cycle only *E-filed with City Clerk’s Office	
		FPPC FORM 497: Late Contributions of \$1,000 or more; filed during Election Cycle only *E-filed with City Clerk’s Office	

Campaign Committee forms must be filed electronically at netfile.com/Filer/Authentication/Login. New committees are encouraged to contact the City Clerk for username and password. Instructions on how to set up an account are also included in this handbook.

FILING SCHEDULE

Candidate filing obligations are dictated by the amount of campaign money received or spent.

A candidate for local office must file a FPPC Form 501: Candidate Intention Statement prior to solicitation or receipt of any contribution, or expenditure of any personal funds used for the election. A separate Form 501 must be filed for each election, including re-election to the same office by the filing nomination period. The Form 501 is considered filed when it is postmarked or received in-person by the City Clerk's Office.

Candidates who expect to receive less than \$2,000 in loans and/or contributions and who plan to spend less than \$2,000 in election expenditures need to file FPPC Form 470: Officeholder/Candidate Campaign Statement – Short Form once on or before the first pre-election deadline, during the calendar year. Candidates who file a Form 470 in connection with an election, and subsequently receive contributions totaling \$2,000 or more, or make expenditures totaling \$2,000 or more during the calendar year, are required to send written notification within 48 hours.

Personal funds used by a candidate to pay for a Candidate's Statement are excluded from the calculation of the \$2,000 filing requirement.

Candidates raising or spending more than \$2,000 must file at least two (2) pre-election campaign statements and one (1) post-election statement.

Additional filings are required if candidates or committees receive an aggregate amount of \$2,000 or more, or make an independent expenditure of \$1,000 during the 90 days prior to an election. Such transactions must be reported — even if the money came from personal funds — to the City Clerk's Office *within 24 hours of the transaction* using FPPC Form 496: Late Independent Expenditure Report and FPPC Form 497: Late Contribution Report.

FPPC forms 496 and 497 require that each report include a filer assigned "control" number so that filing officers and the public can distinguish among numerous duplicate filings that often occur during the rush of the late contribution period. Also, zip codes are now required when reporting street addresses on campaign disclosure statements.

Miscellaneous Requirements Related to Campaign Reports

The period covered by any statement begins on the day after the closing date of the last statement filed, or January 1st, if no previous statement has been filed.

The recipient of a late "in-kind" contribution must file a Late Contribution Report within 24 hours from the time the in-kind contribution is received.

Filing obligations can be ended by completing the termination section included in FPPC Form 410: Statement of Organization for committees that receive or spend \$2,000 or more. The original form must be filed with the Secretary of State and a copy furnished to the City Clerk. There is no termination requirement for those that receive or spend less than \$2,000.

PAGE INTENTIONALLY
LEFT BLANK

Filing Schedule for Candidates and their Controlled Committees for Local Office Listed on the November 5, 2024 Ballot

Deadline	Period	Form	Notes
Jul 31, 2024 <i>Semi-Annual</i>	* – 6/30/24	460	<ul style="list-style-type: none"> All committees must file this statement.
Within 24 Hours <i>Election Cycle Reports</i>	8/7/24 – 11/5/24	497	<ul style="list-style-type: none"> File if a contribution of \$1,000 or more in the aggregate is received from a single source. File if a contribution of \$1,000 or more in the aggregate is made to or in connection with <i>another</i> candidate or measure listed on the November 5, 2024, ballot. The recipient of a non-monetary contribution of \$1,000 or more in the aggregate must file a Form 497 within 48 hours from the time the contribution is received. File by personal delivery, e-mail, guaranteed overnight service, or fax. The committee may also file online, if available.
Sep 26, 2024 <i>1st Pre-Election</i>	7/1/24 – 9/21/24	460 or 470	<ul style="list-style-type: none"> Each candidate listed on the ballot must file Form 460 or Form 470 (see below).
Oct 24, 2024 <i>2nd Pre-Election</i>	9/22/24 – 10/19/24	460	<ul style="list-style-type: none"> All committees must file this statement. File by personal delivery or guaranteed overnight service. The committee may also file online, if available.
Jan 31, 2025 <i>Semi-Annual</i>	10/20/24 – 12/31/24	460	<ul style="list-style-type: none"> All committees must file Form 460 unless the committee filed termination Forms 410 and 460 before December 31, 2024.

Additional Notes:

- *Period Covered:** The period covered by any statement begins on the day after the closing date of the last statement filed, or January 1, if no previous statement has been filed.
- Local Ordinance:** Always check on whether additional local rules apply.
- Deadline Extensions:** Deadlines are extended when they fall on a Saturday, Sunday, or an official state holiday. This extension does not apply to a 24-Hour/10-Day Contribution Report (Form 497) that is due the weekend before the election, and this extension never applies to any 24-Hour/10-Day Independent Expenditure Report (Form 496). Such reports must be filed within 24 hours, regardless of the day of the week.
- Method of Delivery:** All paper filings may be filed by first-class mail unless otherwise noted. A paper copy of a statement may not be required if a local agency requires online filing pursuant to a local ordinance.
- Form 501:** All candidates must file Form 501 (Candidate Intention Statement) before soliciting/receiving contributions.

- **Form 460:** Candidates who have raised/spent \$2,000 or more file 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 2024 and do not have an open committee may file Form 470 on or before September 26, 2024. If the candidate raises or spends \$2,000 or more, later during the calendar year, 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 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.
 - **Form 462:** This verification form must be e-mailed to the FPPC within 10 days..
- **After the Election:** Reporting requirements will depend on whether the candidate is successful and whether a campaign committee is open. See [Campaign Disclosure Manual 2](#) for additional information.
- **Public Documents:** All statements and reports are public documents.
- **Resources:** Campaign manuals and other instructional materials are available on the [Campaign Rules](#) page. Or, visit www.fppc.ca.gov > Learn > Campaign Rules.

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, their 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. An individual must be at a minimum 18 years of age to serve as a committee’s treasurer. However, no individual should accept the position as a mere figurehead. To

Frequently Asked Questions: Campaign Activity

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 their own 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 \$1,000 or more in the aggregate 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 2022" or "Re-Elect Rosa in 2022 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.

Frequently Asked Questions: Campaign Activity

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?

Frequently Asked Questions: Campaign Activity

- 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, nonmonetary, 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 their home for a friend who is running for city council. They will spend \$425 to provide tea, coffee, wine, cheese, and fruit. Is the amount they pay for the event considered a nonmonetary contribution to the candidate?

Frequently Asked Questions: Campaign Activity

- A. No. So long as the individual hosting 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. Yes. Effective September 21, 2022, committees may solicit and accept contributions of cryptocurrency, or virtual currency, in any amount not exceeding any applicable contribution limit. Please note that committees cannot receive cryptocurrency contributions directly. Committees may receive these types of contributions through a payment processor selected to act as a vendor on behalf of the committee. Please see our [Cryptocurrency Contributions Fact Sheet](#) for more information on accepting these types of contributions.
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 their compensated time working on one measure and seven percent of their compensated time on the other measure. Since more than 10 percent of the employee's compensated time was not spent on a single campaign, is their compensated time required to be reported as a nonmonetary contribution to the ballot measure committees from their employer?
- A. Yes. If an employee spends more than 10 percent of their 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 the employee's gross salary; standard benefits (i.e., retirement and health care) do not need to be counted.

Frequently Asked Questions: Campaign Activity

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 they 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

Frequently Asked Questions: Campaign Activity

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 2022").
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 their 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 [on the FPPC's website](#).

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 their 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.

Frequently Asked Questions: Campaign Activity

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, they make a contribution of \$1,000 or more from personal funds to their 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. However, a new Form 501 is not required for the general election or special general election if the candidate filed a Form 501 for the connected primary or special primary election for the same office sought.
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?

Frequently Asked Questions: Campaign Activity

- 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 their personal funds on their 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 they spend \$2,000 or more on the campaign (not counting personal funds spent on filing fees and ballot statement fees), they qualify 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 their 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 the candidate 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 their 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. Pursuant to Assembly Bill 571 (Stats. 2019, Ch. 556, AB 571 Mullin), effective January 1, 2021 a state campaign contribution limit will by default apply to city and county candidates when the city or county has not already enacted a contribution limit on such candidates. The FPPC's website posts contribution limit charts. 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.

Frequently Asked Questions: Campaign Activity

51. Q. If a candidate occasionally uses their own 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 their 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 for a city or county office in a jurisdiction that has enacted a local contribution limit 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 for a city or county office in a jurisdiction that has enacted a local contribution limit 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.) A city or county candidate in a jurisdiction that *has not* enacted a local contribution limit who plans to run for the same office must file a new Form 501 and a new Form 410 as well as open a new bank account and transfer the funds to a new committee **before** the funds become surplus.
- 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 their 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 their election to office. (See Regulation 18405.)

Frequently Asked Questions: Campaign Activity

56. Q. May a law enforcement officer, who is running for city council, wear their uniform at campaign events or when appearing in political advertisements for their 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 their 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 their 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.

PAGE INTENTIONALLY
LEFT BLANK

FPPC CAMPAIGN DISCLOSURE MANUAL 2

The campaign disclosure manual is a handbook prepared to assist candidates, committees, treasurers, and others in understanding the Act's numerous and often detailed rules. The manual contains examples of common fact patterns, answers to frequently asked questions, and "Quick Tips" to highlight question is not answered in the applicable manual, you can [Ask the FPPC for Advice](#).

[Campaign Disclosure Manual 2 - Information for Local Candidates, Superior Court Judges, Their Controlled Committees, and Primarily Formed Committees for Local Candidates](#)

Note: A copy of this manual will be provided via USB.

PAGE INTENTIONALLY
LEFT BLANK

FPPC LIMITATIONS AND RESTRICTIONS ON GIFTS HONORARIA, TRAVEL AND LOANS

General Rules for Gifts and Honoraria

\$590 Gift Limit (Effective January 1, 2023 - December 31, 2024): State and local officials and employees are prohibited from receiving a gift or gifts totaling more than \$590 in a calendar year from certain sources. For elected state officials and many others, the prohibition is applicable to gifts from any source, although there are exceptions (for example, gifts from family members). For state and local officials and employees who file Statements of Economic Interests (Form 700s) under an agency's conflict of interest code, the gift limit is applicable only to individuals and entities that would have to be disclosed on the Form 700. This gift limit is adjusted for inflation every odd-numbered year. (Note: Judges are not subject to the Act's gift prohibitions, but are covered by the Code of Civil Procedure.)

Honoraria: An honorarium is a payment received for making a speech, publishing an article or attending any public or private conference, convention, meeting, social event, meal or similar gathering. State and local elected officers and candidates for those offices and all officials holding positions listed in Government Code Section 87200 are prohibited from receiving honoraria payments. Likewise, an employee designated under a state or local government agency's conflict of interest code is prohibited from receiving honoraria payments from any source of gifts or income the employee is required to report on his or her Statement of Economic Interests (Form 700). Some limited exceptions apply, such as income earned from a bona fide business or profession.

Exceptions for Travel: Certain payments for travel are excluded from the gift limits and honoraria prohibition. Refer to the appropriate gift fact sheet to determine if your travel payment is subject to the gift limit.

Loan Restrictions: Public officials who are required to file Statements of Economic Interests (Form 700s) or who are exempt employees may not receive any personal loan aggregating more than \$250 from an official, employee, or consultant of, or from anyone who contracts with, their governmental agencies. In addition, elected officials may not receive any personal loan aggregating more than \$500 from a single lender unless certain terms of the loan are specified in writing. Under certain circumstances, a personal loan that is not being repaid or is being repaid below certain amounts may become a gift to the official who received it.

[Limitations and Restrictions on Gifts, Honoraria, Travel and Loans for Local Public Officials](#)

Note: A copy of this manual will be provided via USB.

PAGE INTENTIONALLY
LEFT BLANK

E-FILING INSTRUCTIONS

The City of Santa Ana now allows all Fair Political Practices Commission (FPPC) forms to be filed electronically.

Filers may create statements using the City's provider **NetFile**, a user friendly, web-based data entry filing system that allows candidates and committees to electronically submit statements.

To access the system, visit netfile.com/Filer/Authentication/Login. The individual who will be entering transactions into the committee's account and e-filing statements needs to create a NetFile User by clicking the "Create a New NetFile User" link. Follow the on-screen instructions. There is a short video that explains the entire process located in the **"How-To Videos"** section on the log-in page.

For questions, consult the user's guide available in the Help & Support menu or view the page help by clicking the **"Open Page Help" button** available on every page in the system after your successful login, or contact the City of Santa Ana City Clerk's Office.

Note the City Clerk's Office will create a Netfile User and Link a Campaign Filer Account upon filing a FPPC Form 410.

PAGE INTENTIONALLY
LEFT BLANK

SUMMARY OF CAMPAIGN CONTRIBUTION LIMITS AND PROVISIONS FOR VOTING DISQUALIFICATION

SANTA ANA CHARTER PROVISIONS

Sec. 1206. – Campaign contribution limitation.

No person shall make, and no candidate for mayor or City Council or campaign treasurer shall solicit or accept, any contribution or loan which would cause the total amount contributed or loaned by that person to that candidate, including contributions or loans to all committees controlled by that candidate, to exceed one thousand dollars (\$1,000.00) in any election cycle; provided, however, that the City Council may, by ordinance, adjust such limit to reflect changes in the consumer price index; and provided further that nothing herein shall apply to a candidate's contribution of their personal funds to their own campaign contribution account. As used herein, "election cycle" means the period of time between the date of an election to the office of mayor or councilmember and the date of the next election to the same office. (Ordinance No. NS-2170, §3, 7-20-92, approved at election 11-3-92)

Sec. 1207. – Campaign committees and bank accounts.

A candidate for the office of mayor or City Council shall have no more than one campaign committee and one campaign contribution account out of which all expenditures for the purpose of seeking such office shall be made. The campaign contribution account shall be established and maintained as set forth in Section 85201 of the Government Code. (Ordinance No. NS-2170, §3, 7-20-92, approved at election 11-3-92)

Sec. 1208. – Enforcement.

- (a) Any person who knowingly or willfully violates sections 1206 or 1207 of this charter is guilty of a misdemeanor.
- (b) Any resident of the City may bring an action, at a time during an election period or thereafter, in a court of competent jurisdiction to enjoin actual or threatened violations of, or to compel compliance with, or to obtain a judicial declaration regarding compliance with, section 1206 or 1207
- (c) The City Attorney may maintain, in the name of the City, or a resident of the City may maintain, in their own name, a civil action to recover from a candidate or a committee controlled by a candidate any contributions received by such candidate or committee in excess of the contribution limitations established by section 1206. Any money recovered in any such action shall be deposited in the City's general fund. (Ordinance No. NS-2170, §3, 7-20-92, approved at election 11-3-92)

SANTA ANA MUNICIPAL CODE PROVISION

Sec. 2-107. – Prohibited campaign contributions.

No Councilmember or any campaign committee controlled by the Councilmember shall solicit or accept any campaign contribution or loan of two hundred fifty dollars (\$250.00) or more from any person for a period of three (3) months following the date a final decision is rendered in any proceeding before the Council involving a license, permit, or other entitlement, if the Councilmember knows or has reason to know that the person had a financial interest in the proceeding. Financial interest, for purposes of this section, shall have the meaning it is defined to have in Title 9 of the California Government Code (the Political Reform Act). The Mayor is a Councilmember for purposes of this section. (Ordinance No. NS-2304, §1, 11-18-96)

PAGE INTENTIONALLY
LEFT BLANK

SECTION 5

EXHIBITS

PAGE INTENTIONALLY
LEFT BLANK



CITY OF SANTA ANA NOTICE OF ELECTION

NOTICE IS HEREBY GIVEN that a **General Municipal Election** will be held in the City of Santa Ana on Tuesday, November 5, 2024 for the following officers:

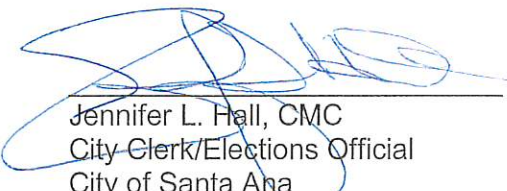
For Mayor	Full term of two (2) years
For Member of the City Council	Ward 1; Full term of four (4) years
For Member of the City Council	Ward 3; Full term of four (4) years
For Member of the City Council	Ward 5; Full term of four (4) years

The nomination period for these offices begins on Monday, July 15, 2024 at 8:00 A.M. and closes on Friday, August 9, 2024 at 5:00 P.M.

If nomination papers for an incumbent officer of the city are not filed by Friday, August 9, 2024 at 5:00 P.M., the voters shall have until the 83rd day before the election, Wednesday, August 14, 2024 at 5:00 P.M., to nominate candidates other than the person(s) who are the incumbents on the 88th day before the election, for that incumbent's elective office.

If no one or only one person is nominated for an elective office, appointment to the elective office may be made as prescribed by §10229, Elections Code of the State of California.

Vote Centers will be open ten days prior to Election Day, with select Vote Centers being open during regular business hours, 8:00 A.M. to 5:00 P.M. ten (10) days prior to Election Day; all Vote Centers being open 8:00 A.M. to 8:00 P.M. three (3) days prior to Election Day; and all Vote Centers open 7:00 A.M. to 8:00 P.M. on Election Day. Ballot drop boxes will be open for 29 days prior to the election, including on Election Day, and available 24 hours a day, 7 days a week, and until 8:00 P.M. on Election Day. Visit www.santa-ana.org/elections/ and/or www.ocvote.gov/elections for voting options.


Jennifer L. Hall, CMC
City Clerk/Elections Official
City of Santa Ana

Dated: July 1, 2024

Published: July 8, 2024

PAGE INTENTIONALLY
LEFT BLANK

RESOLUTION NO. 2024-022

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF SANTA ANA CALLING FOR AND GIVING NOTICE OF A GENERAL MUNICIPAL ELECTION TO BE HELD ON TUESDAY, NOVEMBER 5, 2024, FOR THE ELECTION OF CERTAIN OFFICERS AS PROVIDED BY THE PROVISIONS OF ARTICLE XII OF THE CHARTER OF THE CITY OF SANTA ANA

WHEREAS, under the provisions of Article XII of the Charter of the City of Santa Ana, a General Municipal Election shall be held on Tuesday, November 5, 2024 for the election of municipal officers.

NOW, THEREFORE, BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF SANTA ANA AS FOLLOWS:

Section 1. That pursuant to the requirements of Article XII of the Charter of the City of Santa Ana, there is called and ordered to be held in the City of Santa Ana, California, on Tuesday, November 5, 2024, a General Municipal Election for the purpose of electing a Mayor for the full term of two years, and three Members of the City Council, one member to represent each of the following wards: Ward 1, Ward 3, and Ward 6, each for the full term of four 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 coordinate with the County of Orange Registrar of Voters 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.

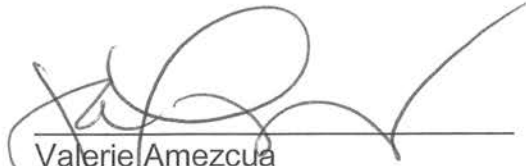
Section 4. That the vote centers for the election shall be open at seven o'clock a.m. of the day of the election and shall remain open continuously from that time until eight o'clock p.m. of the same day when the vote centers shall be closed, pursuant to Election Code §10242, except as provided in §§14212, 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. This Resolution shall take effect immediately upon its adoption by the City Council and the City Clerk shall attest to and certify the vote adopting this Resolution.

ADOPTED this 4th day of June, 2024.


Valerie Amezcua
Mayor

APPROVED AS TO FORM:
Sonia R. Carvalho
City Attorney


By: Laura A. Rossini
Laura A. Rossini
Chief Assistant City Attorney

AYES:	Councilmembers	<u>Amezcua, Bacerra, Hernandez, Lopez, Penalzoa, Phan, Vazquez (7)</u>
NOES:	Councilmembers	<u>None (0)</u>
ABSTAIN:	Councilmembers	<u>None (0)</u>
ABSENT:	Councilmembers	<u>None (0)</u>

CERTIFICATE OF ATTESTATION AND ORIGINALITY

I, JENNIFER L. HALL, City Clerk, do hereby attest to and certify the attached Resolution No. 2024 -022 to be the original resolution adopted by the City Council of the City of Santa Ana on June 4, 2024.

Date: 6/12/2024


Jennifer L. Hall
City Clerk, Elections Official
City of Santa Ana



RESOLUTION NO. 2024-023

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF SANTA ANA REQUESTING THE BOARD OF SUPERVISORS OF THE COUNTY OF ORANGE TO CONSOLIDATE A GENERAL MUNICIPAL ELECTION TO BE HELD ON NOVEMBER 5, 2024, WITH THE STATEWIDE GENERAL ELECTION TO BE HELD ON THAT DATE PURSUANT TO SECTIONS 10403 AND 10418 OF THE ELECTIONS CODE

WHEREAS, the City Council of the City of Santa Ana called a General Municipal Election to be held on November 5, 2024, for the purpose of the election of a Mayor, for a full term of two (2) years, and three (3) Members of the City Council, one member to represent each of the following wards: Ward, 1, Ward 3, and Ward 5, each for a full term of four (4) years; and

WHEREAS, it is desirable that the General Municipal Election be consolidated with the Statewide General Election to be held on the same date and that within the city the precincts, vote centers, and election officers of the two elections be the same, and that the county election department of the County of Orange 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 BY THE CITY COUNCIL OF THE CITY OF SANTA ANA AS FOLLOWS:

Section 1. That pursuant to the requirements of §§10403 and 10418 of the Elections Code, the Board of Supervisors of the County of Orange is hereby requested to consent and agree to the consolidation of a General Municipal Election with the Statewide General Election on Tuesday, November 5, 2024, for the purpose of the election of a Mayor and three (3) Members of the City Council, one member to represent each of the following wards: Ward 1, Ward 3, and Ward 5.

Section 2. That the county election department is authorized to canvass the returns of the General Municipal Election pursuant to the provisions of Elections Code §10411. The election shall be held in all respects as if there were only one election, and only one form of ballot shall be used. The election will be held and conducted in accordance with the provisions of law regulating the statewide election.

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

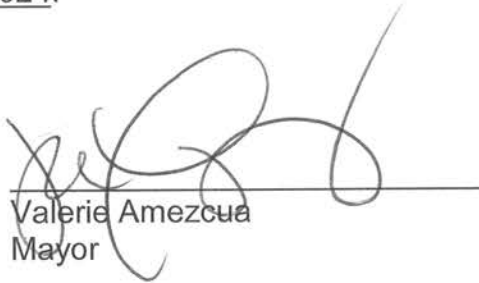
Section 4. That the City of Santa Ana recognizes that additional costs will be incurred by the County by reason of this consolidation and agrees to reimburse the County for any costs.

Section 5. That the City acknowledges that the consolidated election requested by this Resolution will be held and conducted in the manner prescribed by California Elections Code §10418 and, to the extent that anything in this Resolution shall conflict with such provisions, the provisions of Elections Code §10418 shall control and supersede such inconsistent provision(s).

Section 6. That the City Clerk is hereby directed to file a certified copy of this resolution with the Board of Supervisors and the county election department of the County of Orange.

Section 7. This Resolution shall take effect immediately upon its adoption by the City Council and the City Clerk shall attest to and certify the vote adopting this Resolution.

ADOPTED this 4th day of June, 2024.


Valerie Amezcua
Mayor

APPROVED AS TO FORM:
Sonia R. Carvalho
City Attorney

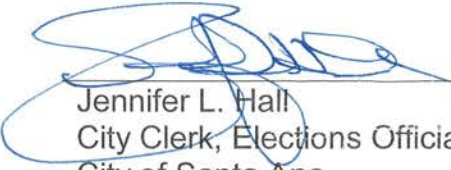
By: Laura A. Rossini
Laura A. Rossini
Chief Assistant City Attorney

AYES:	Councilmembers	<u>Amezcuca, Bacerra, Hernandez, Lopez,</u> <u>Penaloza, Phan, Vazquez (7)</u>
NOES:	Councilmembers	<u>None (0)</u>
ABSTAIN:	Councilmembers	<u>None (0)</u>
ABSENT:	Councilmembers	<u>None (0)</u>

CERTIFICATE OF ATTESTATION AND ORIGINALITY

I, JENNIFER L. HALL, City Clerk, do hereby attest to and certify the attached Resolution No. 2024 -023 to be the original resolution adopted by the City Council of the City of Santa Ana on June 4, 2024.

Date: 6/12/2024


Jennifer L. Hall
City Clerk, Elections Official
City of Santa Ana



PAGE INTENTIONALLY
LEFT BLANK

ELECTION CALENDAR AND DEADLINES

DATE	DESCRIPTION
July 1 to July 15	City Clerk to publish Notice of Election once in a newspaper of general circulation headed "Notice of Election" and shall contain a statement of time of the election and the offices to be filled.
July 15 to August 9	Nomination Period <i>Also referred to as Candidate Filing Period:</i> Mayor and City Council candidates (Wards 1, 3, and 5)
July 31	Deadline to file Semi-Annual Campaign Contribution Statement for period 01/01 - 06/30 (FPPC Form 460)
August 7 to November 5	Contribution and Independent Expenditures of \$1,000 or more must be filed within 24 hours after receipt during <i>90 days prior to an election</i> (FPPC Forms 496 and 497)
August 9	DEADLINE- The following must be filed together by 5:00 p.m.: <ul style="list-style-type: none"> • Nomination Paper • Statement of Economic Interest (FPPC Form 700) • Candidate Intention Statement (FPPC Form 501) • Ballot Designation Worksheet (optional) • Candidate Statement (optional) • Affidavit of Residency Form • Candidate Information Sheet • Code of Fair Campaign Practices form and Political Sign Agreement (optional)
August 10 to August 14	DEADLINE - Extended Filing Period if qualified incumbent does not file (Extended Filing Period) during posted business hours. Cancel election, if insufficient number of candidates file.
August 10 to August 19	10-Day Public Review Period - Election materials available for public examination
August 15	Secretary of State random alphabet drawing

DATE	DESCRIPTION
August 15 to August 24	10-Day Public Review Period - Election materials available for public examination for Extended Filings Only
September 9 to October 22	Period for Write-In Candidates to file
September 26	<p>Deadline to file 1st pre-election Campaign Contribution Statement for period 07/01 – 09/21 (FPPC Form 460 or 470)</p> <p>Last day to file campaign statements for candidates and committees for the period ending September 21, 2024. Candidate controlled committees and primarily formed candidate and measure committees appearing on the ballot must file this statement.</p>
October 7	<p>First Day Vote-by-Mail Ballots are available</p> <p>Voters Registered by this date will be mailed a Voter Information Guide by the Registrar of Voters Office</p>
October 7 to November 5	Ballot Drop Box Locations will be available 24/7 and until 8:00 p.m. on November 5
October 24	<p>Deadline to file 2nd pre-election Campaign Contribution Statement for period 09/22 – 10/19 (FPPC Form 460)</p> <p>Last day to file campaign statements for candidates and committees for the period ending October 19, 2024. Candidate controlled committees and primarily formed candidate and measure committees appearing on the ballot must file this statement electronically via the Clerk's e-filing system.</p>

DATE	DESCRIPTION
October 21	<p>Last day to Register to Vote</p> <p>Conditional voter registration extends the existing 15-day registration deadline in California to eligible voters, allowing them to register and vote provisionally 14 days prior to an election and on Election Day at any Vote Center in Orange County or at the Registrar of Voters office.</p>
October 26	Select Vote Centers Open (11-day centers)
November 2	Additional Vote Centers Open (4-day centers)
November 5	ELECTION DAY –Vote Centers will be open until 8:00 pm on Election Day. For additional details, please visit www.ocvote.gov.
December 10	Special City Council Meeting to declare Election Results and Administer Oaths of Office
January 31, 2025	Deadline to file Campaign Contribution Statement for period 7/1 to 12/31 -or - 10/20 to 12/31 (FPPC Form 460)

Campaign Committee forms must be filed electronically at netfile.com/Filer/Authentication/Login. New committees are encouraged to contact the City Clerk for username and password. Instructions on how to set up an account are also included in this handbook.

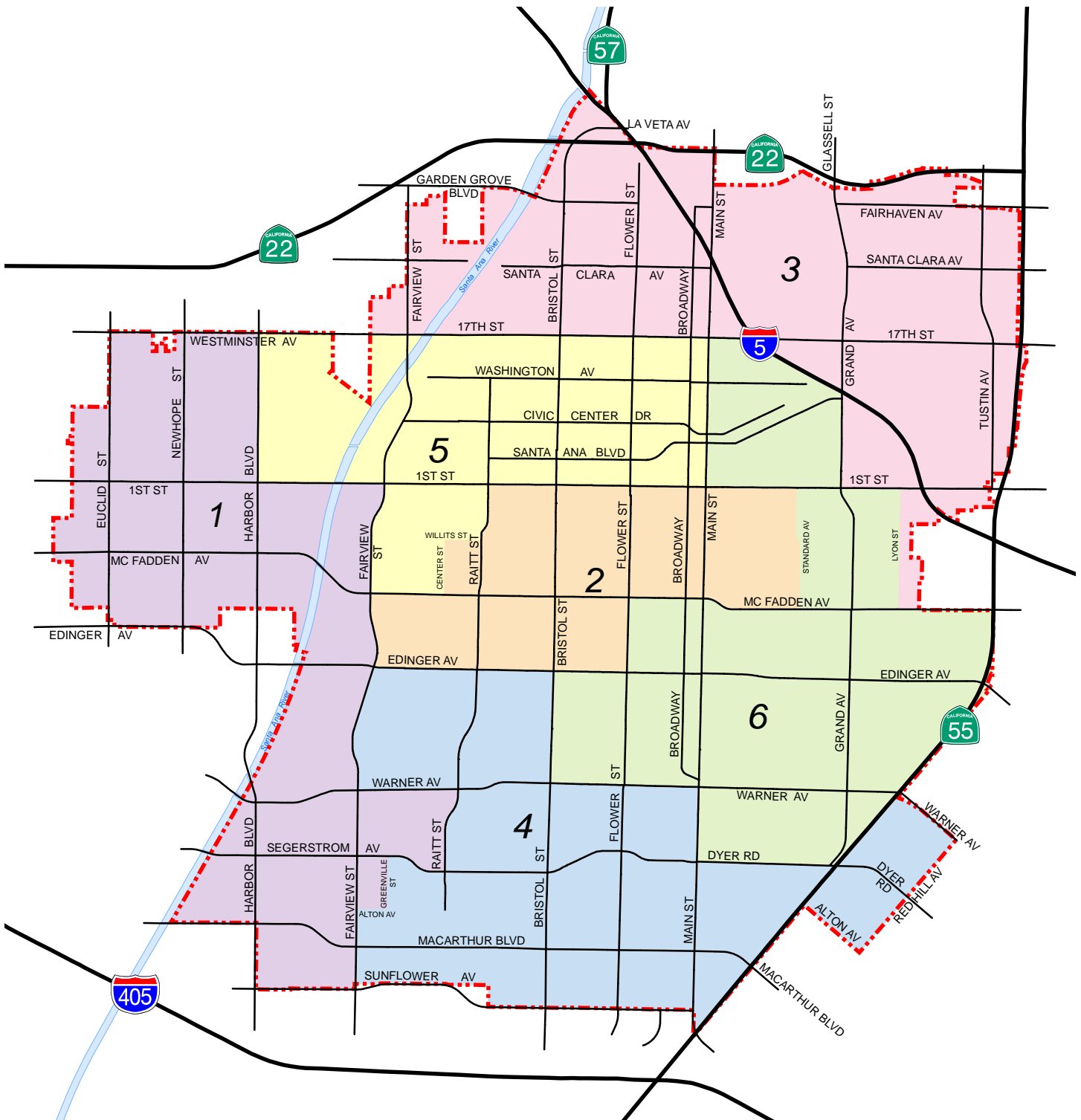
PAGE INTENTIONALLY
LEFT BLANK

CITY CLERK'S OFFICE REGULAR BUSINESS HOURS

**MONDAY THROUGH THURSDAY
AND ALTERNATE FRIDAYS
8:00 A.M. TO 5:00 P.M.**

CLOSED FRIDAYS AND HOLIDAY SCHEDULE 2024	
JULY 19	CITY HALL CLOSED
AUGUST 2	CITY HALL CLOSED
AUGUST 16	CITY HALL CLOSED
AUGUST 30	CITY HALL CLOSED
SEPTEMBER 2	LABOR DAY
SEPTEMBER 13	CITY HALL CLOSED
SEPTEMBER 27	CITY HALL CLOSED
OCTOBER 11	CITY HALL CLOSED
OCTOBER 25	CITY HALL CLOSED
NOVEMBER 8	CITY HALL CLOSED
NOVEMBER 11	VETERAN'S DAY
NOVEMBER 22	CITY HALL CLOSED
NOVEMBER 28	THANKSGIVING DAY
NOVEMBER 29	DAY AFTER THANKSGIVING
DECEMBER 6	CITY HALL CLOSED
DECEMBER 20	CITY HALL CLOSED
DECEMBER 24	LAST WORKING DAY BEFORE CHRISTMAS
DECEMBER 25	CHRISTMAS DAY
DECEMBER 26 – DECEMBER 31	HOLIDAY CLOSURE

PAGE INTENTIONALLY
LEFT BLANK

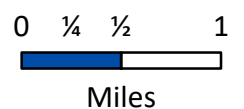


City of Santa Ana Council Wards

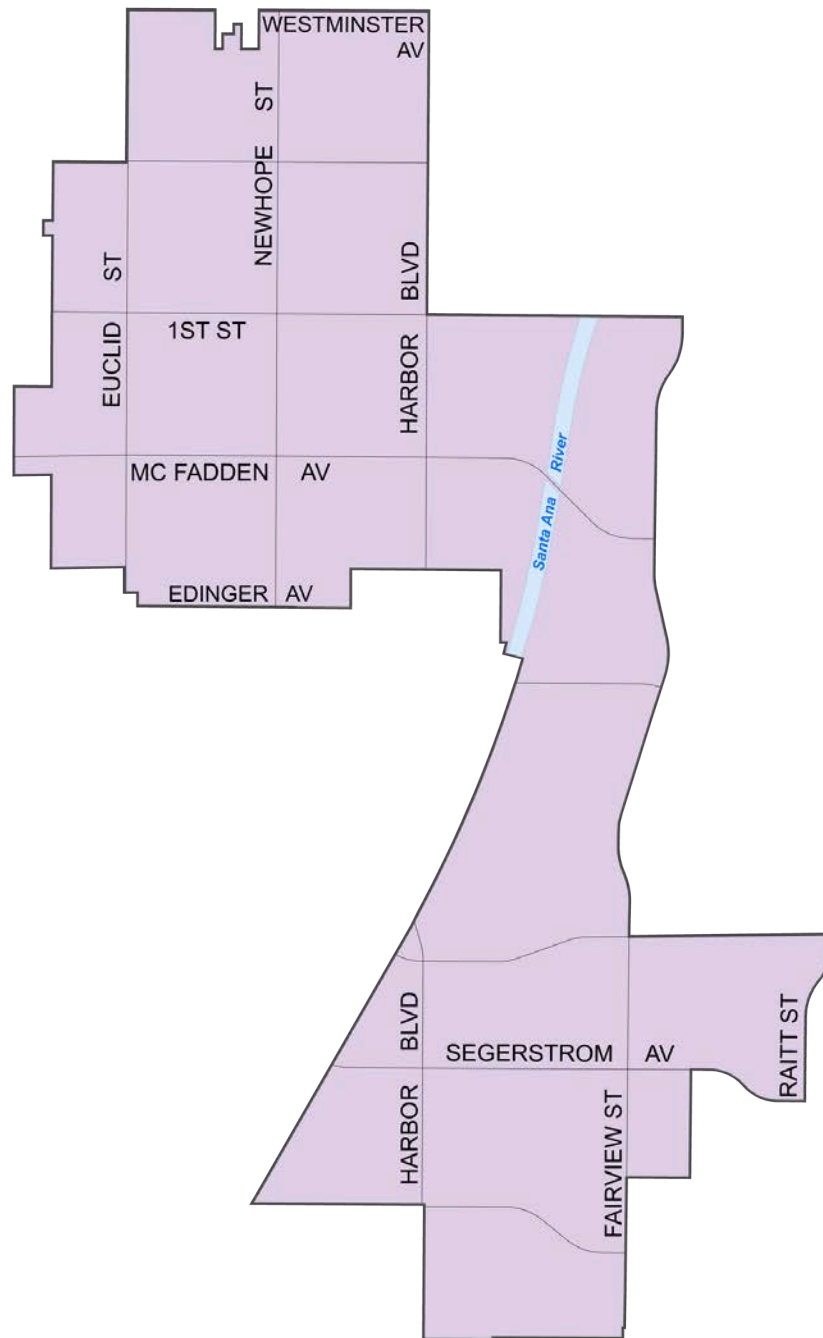
Adopted April 5th, 2022



Map Date 4/11/2022



PAGE INTENTIONALLY
LEFT BLANK



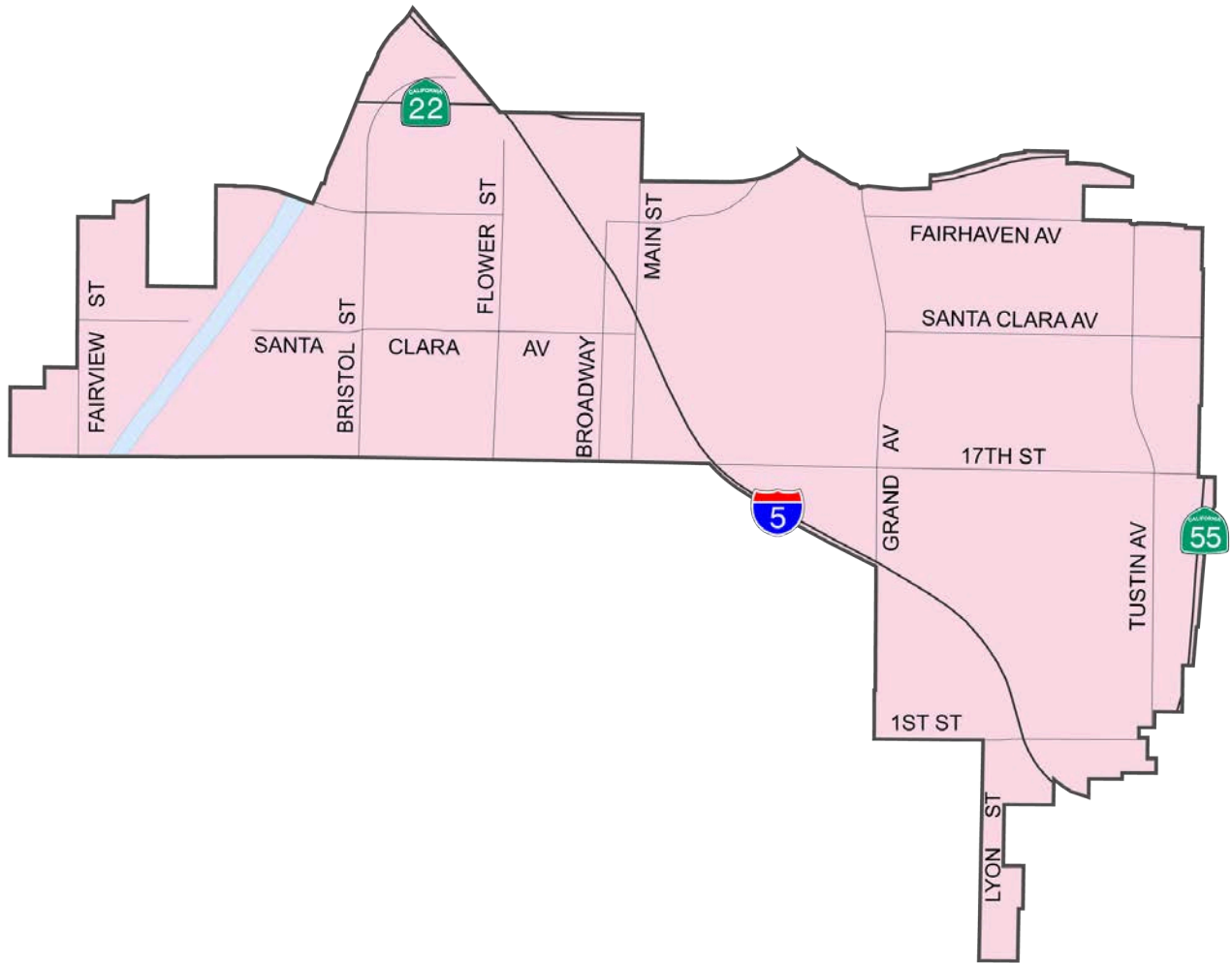
City of Santa Ana

Council Ward 1

Adopted April 5th, 2022



PAGE INTENTIONALLY
LEFT BLANK



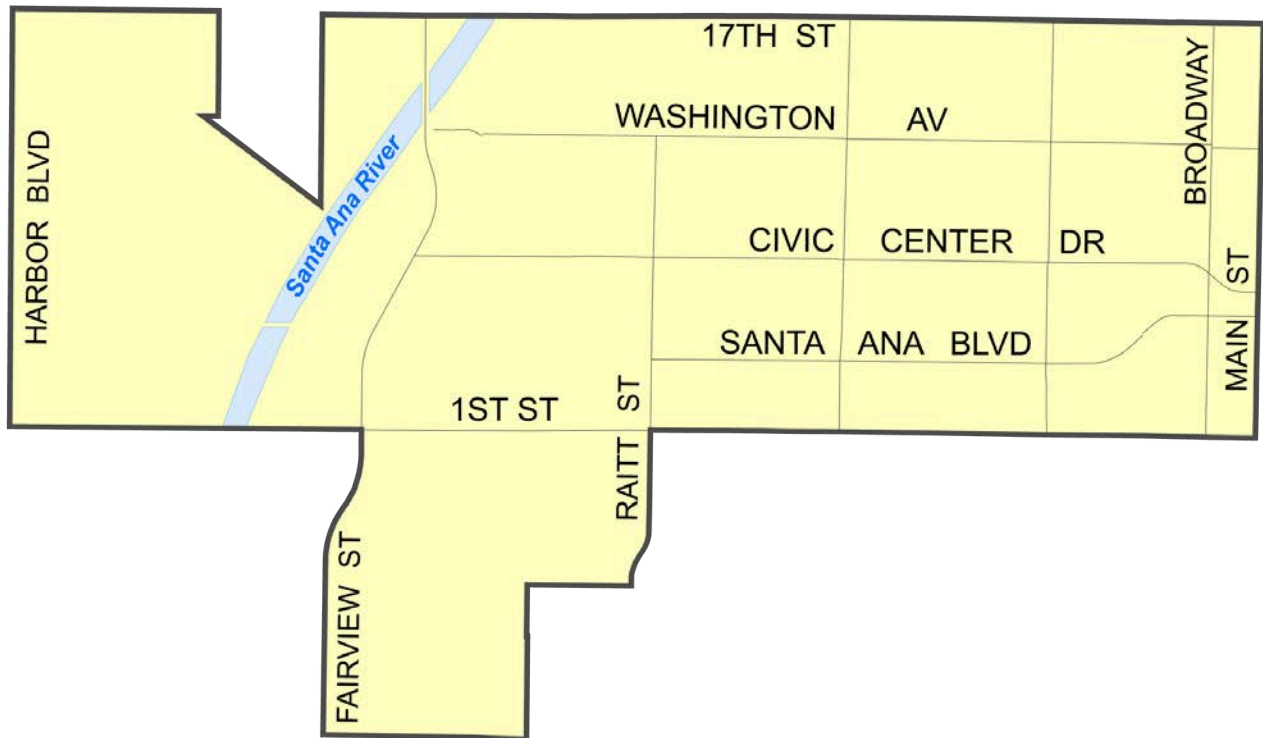
City of Santa Ana

Council Ward 3

Adopted April 5th, 2022



PAGE INTENTIONALLY
LEFT BLANK



City of Santa Ana

Council Ward 5

Adopted April 5th, 2022



PAGE INTENTIONALLY
LEFT BLANK

USE OF CITY SEAL AND LOGO

Use of City Seal

City of Santa Ana Municipal Code

[Sec. 2-211](#). Same—Use in election campaigns prohibited.

No person shall use the city emblem, or any facsimile thereof, for purposes of supporting or opposing the nomination or election to any city or other public office of himself or any other person, or for purposes of supporting or opposing any ballot measure, nor include such city emblem on any writing distributed for purposes of influencing the action of the electorate, or any part thereof, in any election. This section shall not be applicable to writings issued by the City of Santa Ana pursuant to law. (Ord. No. NS-1252, §1, 3-10-75)

Use of City Logo

City of Santa Ana [Resolution No. 2006-012](#) – City Logo for Official Use Only

Section 3. The City Manager is authorized and directed to apply the 2006 Logo to such City documents, publications, brochures and communications (electronic and physical), and on signs, vehicles and buildings, as they may deem advisable from time to time. Use of the 2006 Logo shall be in addition to, or in the place of, use and display of the City Emblem as the City Manager may deem appropriate, unless otherwise directed by the City Council or as provided in the City Charter or Municipal Code. The City Manager is also authorized and directed to use any of the City mottos in conjunction with the 2006 Logo as they may deem appropriate from time to time.

PAGE INTENTIONALLY
LEFT BLANK

CAMPAIGN ACTIVITIES

CAMPAIGN / POLITICAL SIGNS (TEMPORARY SIGNS)

Candidates may post their political signs on private property with the property owner's written permission.

Posting political signs on public property or public right-of-way is prohibited. Any illegally posted temporary sign constitutes a public nuisance and may be abated as such by any authorized city employee. The Public Works Agency currently removes all illegal temporary signs posted on public property.

CITY REGULATIONS

It is expected that candidates for City Council will want to use campaign signs to promote their candidacy. The City of Santa Ana asks that each candidate keep in mind the best interest of the community through compliance with the following excerpts from the Santa Ana Municipal Code for placing temporary signs, including campaign signs. The City's desire is to maintain an aesthetically pleasing appearance, while providing sufficient opportunity for each candidate to make the voters aware of their candidacy.

The City of Santa Ana has the following regulations for temporary signs:

Signs Posted on Public Property without Permission

1. No temporary sign may be posted on public property in the City of Santa Ana.

Santa Ana Municipal Code Section 10-27 – Advertising on public property prohibited. “No person except a public officer or employee in performance of a public duty shall paint, paste, print, nail, tack or otherwise fasten any card, banner, handbill, sign, poster, advertisement or notice of any kind on any curbstone, lamppost, pole, hydrant, bridge, wall or tree upon any public street or other public place, except as may be required or permitted by law.”

2. Any illegally posted temporary sign constitutes a public nuisance.

Santa Ana Municipal Code Section 17-81 – Status of an illegal temporary sign as a public nuisance. “An illegal temporary sign is a public nuisance and may be abated as such by any authorized city employee in accordance with this article.”

3. The Public Works Agency currently removes all illegal temporary signs posted on public property.

Santa Ana Municipal Code Section 17-82 – Removal of illegal temporary signs. “An authorized city employee may remove an illegal temporary sign from any public street or from any city-owned property.”

Signs Posted on Private Property without Permission

Community Preservation Officers can undertake enforcement of existing Santa Ana Municipal Code sections which make posting temporary signs on private property illegal and a public nuisance without the written consent of the owner or property manager.

Santa Ana Municipal Code Section 41-860(b). “No person, except a public officer or employee in the performance of a public duty or a private person in giving a legal notice, shall paste, post, paint, nail or tack or otherwise fasten any card, banner, handbill, sign, poster, advertisement or notice of any kind upon any property without the written consent of the owner, holder, lessee, agent or trustee thereof.”

Santa Ana Municipal Code Section 41-897. “Nuisance Abatement. Any sign installed, altered or maintained in violation of any provision of this article constitutes a public nuisance and is subject to abatement pursuant to Chapter 17 of this Code.”

Littering

Santa Ana Municipal Code Section 16-3 – Throwing Handbills. “No person shall deposit, place, throw, scatter or cast any handbill, dodger, circular, booklet, paper, or other printed matter or advertising in the yard or grounds of any building, or on any porch, doorstep, vestibule, or in any public hallway of any building when said building is not in the possession or under the control of the person so doing, or in any public street or place, or upon any vacant real property in the city.”

CITATIONS AND ENFORCEMENT

The following information outlines the procedure for issuing citations for illegal temporary signs on public right-of-way. Santa Ana Municipal Code Sections 10-26 and 10-27 shall be referenced when issuing citations and states the following:

- **Section 10-26 – Defacing public property.** “No person shall advertise upon, paint, color or deface in any manner any public highway, street, pavement or other public place within the city.”
- **Section 10-27 – Advertising on public property prohibited.** “No person except a public officer or employee in performance of a public duty shall paint, paste, print, nail, tack or otherwise fasten any card, banner, handbill, sign, poster, advertisement or notice of any kind on any curbstone, lamppost, pole, hydrant, bridge, wall or tree upon any public street or other public place, except as may be required or permitted by law.”

CITATION PROCESS

1. **Warning Letter (First Occurrence):** One certified and regular mail warning letter shall be mailed to each violator. A warning letter shall be mailed to the property owner of the business on the first occurrence and warning letters shall be valid for one year or from one year of last citation issued. If there is more than one year between violations, then the citation procedure should restart and a warning letter would be reissued.
2. **Second Occurrence:** One \$100.00 citation shall be issued per location for offences occurring 48 hours after warning letter has been mailed to violator. One citation shall be issued per violator, per location and shall include a photo template attachment depicting all signs at the location. One specific code section shall be cited for each violation.
3. **Third Occurrence:** One \$200.00 citation per location shall be issued 24 hours after \$100 citation.
4. **Fourth Occurrence and Thereafter:** One \$500.00 citation per location shall be issued 24 hours after \$200 citation and for every violation thereafter.

Note: Authorized pursuant to Ordinance No. NS-2845 and Resolution No. 2013-028

PAGE INTENTIONALLY
LEFT BLANK

CALIFORNIA BUSINESS AND PROFESSIONS CODE

OUTSIDE ADVERTISING – TEMPORARY POLITICAL SIGNS

DIVISION 3. PROFESSIONS AND VOCATIONS GENERALLY [5000 - 9998.11] (*Head. Div. 3 added by Stats. 1939, Ch. 30.*)

CHAPTER 2. Advertisers [5200 - 5486] (*Chapter 2 repealed and added by Stats. 1970, Ch. 991.*)

ARTICLE 7. Regulations [5400 - 5419] (*Article 7 added by Stats. 1970, Ch. 991.*)

<https://leginfo.legislature.ca.gov>

5405.

Notwithstanding any other provision of this chapter, no advertising display shall be placed or maintained within 660 feet from the edge of the right-of-way of, and the copy of which is visible from, any interstate or primary highway, other than any of the following:

(a) Directional or other official signs or notices that are required or authorized by law, including, but not limited to, signs pertaining to natural wonders and scenic and historical attractions, and which comply with regulations adopted by the director relative to their lighting, size, number, spacing, and any other requirements as may be appropriate to implement this chapter which are consistent with national standards adopted by the United States Secretary of Transportation pursuant to subdivision (c) of Section 131 of Title 23 of the United States Code.

(b) Advertising displays advertising the sale or lease of the property upon which they are located, if all advertising displays within 660 feet of the edge of the right-of-way of a bonus segment comply with the regulations adopted under Sections 5251 and 5415.

(c) Advertising displays which advertise the business conducted, services rendered, or goods produced or sold upon the property upon which the advertising display is placed, if the display is upon the same side of the highway as the advertised activity; and if all advertising displays within 660 feet of the right-of-way of a bonus segment comply with the regulations adopted under Sections 5251, 5403, and 5415; and except that no advertising display shall be placed after January 1, 1971, if it contains flashing, intermittent, or moving lights (other than that part necessary to give public service information, including, but not limited to, the time, date, temperature, weather, or similar information, or a message center display as defined in subdivision (d)).

(d) (1) Message center displays that comply with all requirements of this chapter. The illumination or the appearance of illumination resulting in a message change of a message center display is not the use of flashing, intermittent, or moving light for purposes of subdivision (b) of Section 5408, except that no message center display may include any illumination or message change that is in motion or appears to be in motion or that changes in intensity or exposes its message for less than four seconds. No message center display may be placed within 1,000 feet of another message center display on the same side of the highway. No message center display may be placed in violation of Section 131 of Title 23 of the United States Code.

(2) Any message center display located beyond 660 feet from the edge of the right-of-way of an interstate or primary highway and permitted by a city, county, or city and county on or before December 31, 1988, is in compliance with Article 6 (commencing with Section 5350) and Article 7 (commencing with Section 5400) for purposes of this section.

(3) Any message center display legally placed on or before December 31, 1996, which does not conform with this section may continue to be maintained under its existing criteria if it advertises only the business conducted, services rendered, or goods produced or sold upon the property upon which the display is placed.

(4) This subdivision does not prohibit the adoption by a city, county, or city and county of restrictions or prohibitions affecting off-premises message center displays which are equal to or greater than those imposed by this subdivision, if that ordinance or regulation does not restrict or prohibit on-premises advertising displays, as defined in Chapter 2.5 (commencing with Section 5490).

(e) Advertising displays erected or maintained pursuant to regulations of the director, not inconsistent with the national policy set forth in subdivision (f) of Section 131 of Title 23 of the United States Code and the standards promulgated thereunder by the Secretary of Transportation, and designed to give information in the specific interest of the traveling public.

(Amended by Stats. 2000, Ch. 787, Sec. 10. Effective January 1, 2001.)

5405.3.

Nothing in this chapter, including, but not limited to, Section 5405, shall prohibit the placing of temporary political signs, unless a federal agency determines that such placement would violate federal regulations. However, no such sign shall be placed within the right-of-way of any highway or within 660 feet of the edge of and visible from the right-of-way of a landscaped freeway.

A temporary political sign is a sign which:

(a) Encourages a particular vote in a scheduled election.

(b) Is placed not 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 temporary political sign and who will reimburse the department for any cost incurred to remove it.

(Added by Stats. 1979, Ch. 1054.)

CALIFORNIA PENAL CODE

UNLAWFUL PLACING OF SIGNS – PRIVATE & PUBLIC PROPERTY

PART 1. OF CRIMES AND PUNISHMENTS [25 - 680.4] *(Part 1 enacted 1872.)*

TITLE 13. OF CRIMES AGAINST PROPERTY [450 - 593g] *(Title 13 enacted 1872.)*

CHAPTER 12. Unlawful Interference With Property [552 - 558.1] *(Chapter 12 added by Stats. 1953, Ch. 32.)*

ARTICLE 2. Unlawfully Placing Signs on Public and Private Property [556 - 556.4] *(Art. 2 added by Stats. 1953, Ch. 32.)*

<https://leginfo.legislature.ca.gov>

556.1.

It is a misdemeanor for any person to place or maintain or cause to be placed or maintained upon any property in which he has no estate or right of possession any sign, picture, transparency, advertisement, or mechanical device which is used for the purpose of advertising, or which advertises or brings to notice any person, article of merchandise, business or profession, or anything that is to be or has been sold, bartered, or given away, without the consent of the owner, lessee, or person in lawful possession of such property before such sign, picture, transparency, advertisement, or mechanical device is placed upon the property.

(Added by Stats. 1953, Ch. 32.)

CHAPTER 15. Malicious Injuries to Railroad Bridges, Highways, Bridges, and Telegraphs [587 - 593g]
(Chapter 15 enacted 1872.)

591.

A person who unlawfully and maliciously takes down, removes, injures, disconnects, cuts, or obstructs a line of telegraph, telephone, or cable television, or any line used to conduct electricity, or any part thereof, or appurtenances or apparatus connected therewith, including, but not limited to, a backup deep cycle battery or other power supply, or severs any wire thereof, or makes an unauthorized connection with any line, other than a telegraph, telephone, or cable television line, used to conduct electricity, or any part thereof, or appurtenances or apparatus connected therewith, is subject to punishment by imprisonment in a county jail not exceeding one year, by a fine not exceeding one thousand dollars (\$1,000), or by both that imprisonment and fine, or by imprisonment in a county jail for 16 months, two or three years pursuant to subdivision (h) of Section 1170 and a fine of up to ten thousand dollars (\$10,000).

(Amended by Stats. 2014, Ch. 332, Sec. 1. (AB 1782) Effective January 1, 2015.)

PAGE INTENTIONALLY
LEFT BLANK

LITERATURE REQUIREMENTS

Section 16. Elections Code

A copy of Section 84305 of the Government Code shall be provided by the elections official to each candidate or his or her agent at the time of filing the declaration of candidacy and to the proponents of a local initiative or referendum at the time of filing the petitions.

MASS MAILING REQUIREMENTS

Section 84305. Government Code

(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 84504.2 unless the name, street address, and city of the committee is shown on the outside of each piece of mail in the mass mailing and on at least one of the inserts included within each piece of mail of the mailing in no less than 6-point type that is in a color or print that contrasts with the background so as to be easily legible. A post office box may be stated in lieu of a street address if the committee's address is a matter of public record with the Secretary of State.

(b) If the sender of the mass mailing is a single candidate or committee, the name, street address, and city of the candidate or committee need only be shown on the outside of each piece of mail.

(c) (1) A candidate, candidate controlled committee established for an elective office for the controlling candidate, or political party committee shall not send a mass electronic mailing unless the name of the candidate or committee is shown in the electronic mailing preceded by the words "Paid for by" in at least the same size font as a majority of the text in the electronic mailing.

(2) A committee, other than a candidate controlled committee established for an elective office for the controlling candidate or a political party committee, shall not send a mass electronic mailing that is not required to include a disclosure pursuant to Section 84502 or 84504.3 unless the name of the committee is shown in the electronic mailing preceded by the words "Paid for by" in at least the same size font as a majority of the text in the electronic mailing.

(d) If the sender of a mass mailing is a controlled committee, the name of the person controlling the committee shall be included in addition to the information required by subdivision (a).

(e) For purposes of this section, the following terms have the following meanings:

(1) "Mass electronic mailing" means sending more than 200 substantially similar pieces of electronic mail within a calendar month. "Mass electronic mailing" does not include a communication that was solicited by the recipient, including, but not limited to, acknowledgments for contributions or information that the recipient communicated to the organization.

(2) "Sender" means the candidate, candidate controlled committee established for an elective office for the controlling candidate, or political party committee who pays for the largest portion of expenditures attributable to the designing, printing, and posting of the mailing which are reportable pursuant to Sections 84200 to 84216.5, inclusive.

(3) To "pay for" a share of the cost of a mass mailing means to make, to promise to make, or to incur an obligation to make, any payment: (A) to any person for the design, printing, postage, materials, or other costs of the mailing, including salaries, fees, or commissions, or (B) as a fee or other consideration for an endorsement or, in the case of a ballot measure, support or opposition, in the mailing.

(f) This section does not apply to a mass mailing or mass electronic mailing that is paid for by an independent expenditure.

PENAL PROVISIONS - ELECTION CAMPAIGNS

Section 18303. Election Code

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.

Section 91000. Government Code

(a) Any person who knowingly or willfully violates any provision of this title is guilty of a misdemeanor.

(b) In addition to other penalties provided by law, a fine of up to the greater of ten thousand dollars (\$10,000) or three times the amount the person failed to report properly or unlawfully contributed, expended, gave or received may be imposed upon conviction for each violation.

(c) Prosecution for violation of this title must be commenced within four years after the date on which the violation occurred.

Section 91001. Government Code

(a) The Attorney General is responsible for enforcing the criminal provisions of this title with respect to state agencies, lobbyists and state elections. The district attorney of any county in which a violation occurs has concurrent powers and responsibilities with the Attorney General.

(b) The civil prosecutor is primarily responsible for enforcement of the civil penalties and remedies of this title. The civil prosecutor is the commission with respect to the state or any state agency, except itself. The Attorney General is the civil prosecutor with respect to the commission. The district attorneys are the civil prosecutors with respect to any other agency. The civil prosecutor may bring any civil action under this title which could be brought by a voter or resident of the jurisdiction. Upon written authorization from a district attorney, the commission may bring any civil action under this title which could be brought by a voter or resident of the jurisdiction. Under such circumstances, Section 91007 shall not apply to the commission.

(c) Whether or not a violation is inadvertent, negligent or deliberate, and the presence or absence of good faith shall be considered in applying the remedies and sanctions of this title.

DEFINITION OF MASS MAILING AND SENDER

Section 18435. California Code of Regulations

(a) A "mass mailing" has been made when over two hundred substantially similar pieces of mail have been sent within a calendar month.

(b) The sender, as used in Section 84305, is the candidate or committee who pays for the largest portion of expenditures attributable to the designing, printing, and posting of the mailing which are reportable under Sections 84200 through 84217.

(c) The identification required by Section 84305 must be preceded by the words "Paid for by." These words must be presented in the same size and color as the identification required by Section 84305, and must be immediately adjacent to and above or immediately adjacent to and in front of the required identification unless otherwise specified by statute.

Note: Authority cited: Section 83112, Government Code. Reference: Sections 82041.5 and 84305, Government Code.

Section 18435.5. California Code of Regulations

(a) Section 84305.5 requires a slate mailer to identify the slate mailer organization or committee sending the slate mailer, and to designate by an asterisk (*) each candidate and each ballot measure supported or opposed in a slate mailer for which payment of \$100 or more has been received by the organization or committee (either from the candidate, ballot measure committee, or from any other person "at the behest" of a candidate or ballot measure committee as defined in Regulation 18225.7).

(b) To ensure that it is easily legible, the Notice to Voters required by Section 84305.5 shall appear with a reasonable degree of color contrast between the background and the statement and must appear on a plain background, not superimposed over an illustration or a patterned background. Examples of a reasonable degree of color contrast that would meet the standard required by Section 84305.5 are when the disclaimer is printed in black text on a white background or a similar degree of color contrast between the background and the text of the disclaimer.

(c) Slate Mailers in Multiple Languages. The Notice to Voters in a slate mailer shall appear in English. In addition, if all or a significant portion of the slate mailer appears in a language other than English, the Notice to Voters must also appear in that language.

(d) In addition to applying to slate mailers sent by traditional mail, the slate mailer identification and disclaimer requirements of Section 84305.5 apply to slate mailers distributed electronically.

Note: Authority cited: Section 83112, Government Code. Reference: Section 84305.5, Government Code.

PAGE INTENTIONALLY
LEFT BLANK

CALIFORNIA ELECTIONS CODE

ELECTIONEERING PROHIBITIONS

DIVISION 18. PENAL PROVISIONS [18000 - 18700] (*Div. 18 enacted by Stats. 1994, Ch. 920, Sec. 2.*)

CHAPTER 4. Election Campaigns [18301 - 18390] (*Ch 4 enacted by Stats. 1994, Ch. 920, Sec. 2.*)

ARTICLE 7. Electioneering [18370 - 18372] (*Art. 7 enacted by Stats. 1994, Ch. 920, Sec. 2.*)

<https://leginfo.legislature.ca.gov>

18370.

(a) A person shall not, on election day, or at any time that a voter may be casting a ballot, within the 100 foot limit specified in subdivision (b), do any of the following:

(1) Circulate an initiative, referendum, recall, or nomination petition or any other petition.

(2) Solicit a vote or speak to a voter on the subject of marking the voter's ballot.

(3) Place a sign relating to voters' qualifications or speak to a voter on the subject of the voter's qualifications except as provided in Section 14240.

(4) Do any electioneering as defined by Section 319.5.

(b) The activities described in subdivision (a) are prohibited within 100 feet of either of the following:

(1) The entrance to a building that contains a polling place as defined by Section 338.5, an elections official's office, or a satellite location specified in Section 3018.

(2) An outdoor site, including a curbside voting area, at which a voter may cast or drop off a ballot.

(c) A person shall not, on election day, or at any time that a voter may be casting a ballot, do any of the following within the immediate vicinity of a voter in line to cast a ballot or drop off a ballot:

(1) Solicit a vote.

(2) Speak to a voter about marking the voter's ballot.

(3) Disseminate visible or audible electioneering information.

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

(*Amended by Stats. 2021, Ch. 318, Sec. 4. (SB 35) Effective January 1, 2022.*)

18371.

(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. *(Amended by Stats. 2007, Ch. 508, Sec. 113. Effective January 1, 2008.)*

18372.

Notice regarding the prohibitions on electioneering set forth in this article shall be provided to the public. The Secretary of State shall promulgate regulations specifying the manner in which such notice shall be provided.

(Added by Stats. 2021, Ch. 318, Sec. 5. (SB 35) Effective January 1, 2022.)

BALLOT ORDER OF CANDIDATES

The Secretary of State will conduct a randomized alphabet drawing on **August 15, 2024**, which will determine the order in which the qualified candidates' names will appear on the ballot. The same order will be used in the sample ballot pamphlet for those candidates filing a Candidate's Statement to be printed in the pamphlet.

Access to the random draw will be made available on the Secretary of State's website at www.sos.ca.gov and on the Registrar of Voters website at www.ocvote.gov.

(§13112(b)(1)(c))

Each letter of the alphabet shall be written on a separate slip of paper, each of which will be folded and inserted into a capsule. Each capsule shall be opaque and of uniform weight, color, size, shape, and texture. The capsules shall be placed in a container, which shall be shaken vigorously in order to mix them thoroughly. The container then shall be opened and the capsules removed at random one at a time. As each is removed, it shall be opened and the letter on the slip of paper read aloud and written down. The resulting random order of letters constitutes the randomized alphabet, which is to be used in the same manner as the conventional alphabet in determining the order of all candidates in all elections. For example, if two candidates with the surnames Campbell and Carlson are running for the same office, their order on the ballot will depend on the order in which the letter M and R were drawn in the randomized alphabet drawing. The drawing shall be open to the public. A drawing will take place for each election date.

(§13112)

The following contests use the State randomized alphabet in determining the ballot order of the candidates: State Senate, State Assembly, Municipal, School District, and Special District. Exception: If a State Senate or State Assembly District is located in more than one county, then the county randomized alphabet order is used in determining the ballot order of the candidates for that contest. For those contests, the Registrar of Voters' office will conduct a drawing of the letters of the alphabet for the General Election at the same time the Secretary of State's office is conducting its drawing.

(§13111(i))

The ballot order of candidates in some contests is rotated by Assembly District. These contests include Congressional, County offices encompassing the entire county, and Judicial.

(§13111(i))

Additional General Election Information – CA SOS

<https://www.sos.ca.gov/elections/upcoming-elections/general-election-nov-5-2024>

PAGE INTENTIONALLY
LEFT BLANK

CONTACT INFORMATION

CITY OF SANTA ANA

CITY CLERK/ELECTIONS OFFICIAL

Jennifer L. Hall, CMC

20 Civic Center Plaza, 8th Floor

P.O. Box 1988 M-30

Santa Ana, CA 92702

Phone: (714) 647-5235

Email: jhall@santa-ana.org

Website: <https://www.santa-ana.org/departments/city-clerks-office/>

ORANGE COUNTY REGISTRAR OF VOTERS

1300-C South Grand Avenue

P.O. Box 145467

Santa Ana, CA 92735

Phone: (714) 567-7600

Fax: (714) 567-7556

Website: <https://ocvote.gov/>

Absent Voter Division: (714) 567-7560

Campaign Disclosure Division: (714) 567-7558

OFFICE OF THE SECRETARY OF STATE

P.O. Box 1467 (95812-1467)

1500 11th Street, Room 495

Sacramento, CA 95814

Elections Division: (916) 657-2166

Fax: (916) 653-3214

Website: www.sos.ca.gov

Political Reform Division: (916) 653-6224

Fax: (916) 653-5045

FAIR POLITICAL PRACTICES COMMISSION (FPPC)

1102 Q Street, Suite 3000

Sacramento, CA 95811

Phone: (916) 322-5660

Advice: (M-Th, 9 a.m. – 11:30 a.m.): (866) 275-3772 *1

Email: advice@fppc.ca.gov

Fax: (916) 322-0886

Website: www.fppc.ca.gov

Enforcement Complaint: complaint@fppc.ca.gov

PAGE INTENTIONALLY
LEFT BLANK

COUNTY OF ORANGE REGISTRAR OF VOTERS WEBSITE AND GENERAL ELECTION INFORMATION

Registered voters may call the County of Orange Registrar of Voters' office at (714) 567-7600 or visit www.ocvote.gov for general election information, including polling locations.

Links to election information on the ROV's website translated in Santa Ana's required languages:

- Election information in English: <http://www.ocvote.gov>
- Election information in Spanish: <http://www.ocvote.gov/es>
- Election information in Vietnamese: <http://www.ocvote.gov/vn>
- Election information in Korean: <http://www.ocvote.gov/ko>
- Election information in Chinese: <http://www.ocvote.gov/zh>

ELECTION NIGHT RESULTS

Orange County uses a central location for tallying votes. All ballots are tabulated in the Registrar of Voters Tally Center located at 1300 S. Grand Avenue, Bldg. C, Santa Ana.

The vote counting procedure is open to public viewing. Unofficial results are available throughout the evening of the election in the Registrar of Voters office beginning at approximately 8:05 p.m. and continuing until all precinct ballots have been tallied. Results may also be obtained by calling the Registrar of Voters Office at (714) 567-7600 or visiting www.ocvote.gov.

PAGE INTENTIONALLY
LEFT BLANK

REGISTRAR OF VOTERS SERVICES TO CANDIDATES

REGISTRATION FORMS

For candidates and committees wishing to conduct registration drives to register voters, registration forms are available at the Registrar of Voters' office from the Voter Registration Specialist. You may obtain the quantity of registration forms you deem necessary, upon availability. You will be asked to complete a Statement of Distribution form at the time the forms are issued to you. For further information, please call (714) 567-7569.

COMPUTER PRODUCTS

Registered Voter File: Candidates may purchase the registered voter file on a USB drive. The file is in alphabetical sequence and can be ordered with the names of all voters in Orange County or just the voters in a particular city or district. Call (714) 834-7116 for more information or go to ocvote.gov to make a purchase online. Click on "Data & Research" at the top of the page and click on "Purchase Voter Data". The Registrar of Voters' office does not provide technical support. The candidate must also fill out a written request form containing a wet signature.

INDICES (WALKING LISTS)

All candidates are entitled to purchase indexes. These are printed lists of registered voters by precinct, listed by address with the street names arranged alphabetically and street numbers in numerical order for a given street name.

Each candidate may purchase up to two copies (sets) of indexes for his/her own use or the use of his/her committee. These may be a complete set, including all precincts within the district in which the candidate is running, or a partial set, including some of the precincts in the district. Indexes sell for .50 cents per thousand names or portion thereof. Indexes may be ordered by filling out the proper form at the Registrar of Voters' office or by writing a letter to the Registrar of Voters' office requesting indexes for a certain district. The cost of the product is payable in advance at the time the product is requested. For further information, please call (714) 834-7116.

The candidate must fill out a written request form containing a signed declaration that the data purchased will be used only for election purposes.

Products are usually available within 3-4 days of placing the order (depending on job scheduling). For further information, please call (714) 834-7116.

PAGE INTENTIONALLY
LEFT BLANK

CANDIDATE / TREASURER SEMINARS

The Fair Political Practices Commission (FPPC) offers a variety of training opportunities designed to address the duties and needs of specific individuals. Visit fppc.ca.gov/learn/training-and-outreach.html to obtain more information on scheduled training events.

Are you ...

- A [Candidate, Treasurer or Committee?](#)
- A [Filing Officer?](#)
- A [Form-700 Filer?](#)
- A [Lobbyist?](#)
- A [Public Official looking for ethics training?](#)

Types of Training

- **Local Candidate & Treasurer Campaign Workshop**
Presented by the Fair Political Practices Commission (FPPC) and available at: fppc.ca.gov/learn/training-and-outreach/candidates-treasurers-committees.html.

The FPPC Webinars are shorter versions of the workshops that you can watch from the convenience of your desk at the specified time and date. Each webinar generally lasts 45 minutes. The key feature of the webinar is its interactive element - you can email questions and receive private answers from the webinar assistant any time during the presentation. Registration is required. Local Candidate & Treasurer videos are posted on YouTube, run approximately 30 minutes, and have printable slides to use for notetaking.

PAGE INTENTIONALLY
LEFT BLANK