Fair
Political
Practices
Commission

Master Copy

FORM 700
1999-2000

Statement of Economic Interests

P.O. Box 807• Sacramento, CA 95812 • (916) 322-5660
www.fppc.ca.gov

Quick Tips for Easier Filing

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

1. Know your jurisdiction.

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

2. Determine your type of disclosure.

Two types of public officials complete the Form 700.

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

3. Reporting timeframes.

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

4. Check your calendar.

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

5. Use the provided schedules.

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

6. Use your computer.

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

7. Review your statement.

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

8. Sign your statement.

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

9. Amendments

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

10. Call the Commission

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

INTRODUCTION

The Political Reform Act (Act) (Government Code Sections 81000-91015) requires most state and local government officials and employees to publicly disclose their personal assets and income. They must also disqualify themselves from participating in decisions which may affect their personal financial interests. The Fair Political Practices Commission (FPPC) is the state agency responsible for issuing the attached Statement of Economic Interests, Form 700, and for interpreting the law's provisions.

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

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

Gift Prohibition

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

In addition, state officials, state candidates, and certain state employees are subject to a $10 limit per calendar month on gifts from lobbyists and lobbying firms registered with the Secretary of State.

See Appendix-3 for more detailed information.

Honorarium Ban

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

See Appendix-3 for more detailed information.

Loan Prohibitions

State and local public officials may not receive any personal loan aggregating more than $250 from an official, employee, or consultant of, or from anyone who contracts with, their governmental agencies. In addition, elected officials may not receive any personal loan aggregating more than $500 from a single lender unless certain terms of the loan are specified in writing. Under certain circumstances, a personal loan that is not being repaid or is being repaid below certain amounts may become a gift to the official who received it.

See Appendix-4 for more detailed information.

Disqualification

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

Post-Governmental Employment

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

Enforcement

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

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

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

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

TWO TYPES OF FILERS

1. Officials and Candidates Specified in Government Code Section 87200

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

State Offices

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

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

Judicial Offices

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

County and City Offices

- Members of Boards of Supervisors
- Mayors and Members of City Councils
- Chief Administrative Officers
- District Attorneys
- County Counsels
- City Attorneys
- City Managers
- Planning Commissioners
- County and City Treasurers
- County and City Public Officials (including employees and consultants) Who Manage Public Investments

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

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

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

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

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

Note:

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

WHERE TO FILE

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

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

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

Exceptions:

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

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

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

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

WHEN TO FILE

Assuming Office and Initial Statements:

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

Exceptions:

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

WHEN TO FILE
Continued

Annual Statements:

1. Elected state officers (including members of the State Legislature),

   Judges and court commissioners, and

   Members of state boards and commissions specified in Gov. Code section 87200 (listed in column 1 on Instructions-2)

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

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

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

3. Multi-County officials

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

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

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

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

Exception:

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

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

Leaving Office Statements:

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

Exceptions:

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

Candidate Statements:

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

Exceptions:

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

Amendments:

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

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

Part 1. Office, Agency, or Court

- Enter the name of your office, agency, or court. (Examples: State Assembly; Board of Supervisors; Office of the Mayor; Department of Finance; Hope County Superior Court.)
- Indicate the name of your division, board, or district, if applicable. (Examples: Division of Waste Management; Board of Accountancy; District 45.)
- Enter your position title. (Examples: Director; Chief Counsel; City Council Member; Staff Services Analyst.)
- If you have multiple filing obligations (e.g., a city councilperson who also is a member of a county board or commission), you may be required to file statements with each agency.

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

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

Part 2. Office Jurisdiction

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

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

State Offices and All Courts: Your jurisdiction is the state if you are an elected state officer, a state legislator, a judge, or a candidate for one of these offices. If you are an official or employee of, or a consultant to, a state board, commission, or agency, or of any court or the State Legislature, your jurisdiction is also the state.

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

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

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

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

Example:

Jason Roberts is a member of the Sacramento City Council.

1. Office, Agency, or Court
Provide precise name. *Do not use acronyms.*
City Council
Division, Board, District, if applicable:
District 5
Position:
Member of the City Council
➡ Expanded Statement - List agency/position:
(Attach a separate sheet if necessary. *Do not use acronyms.*)
Agency: _____
Position Title: _____

2. Office Jurisdiction *(Check one).*
☐State
☐County of _____
☑City of Sacramento
☐Multi-County _____
☐Other _____

Part 3. Type of Statement

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

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

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

- Report investments, interests in real property, and business positions held on the date you assumed the office or position. In addition, report income (including loans, gifts, and travel payments) received during the 12 months prior to the date you assumed the office or position.

For positions subject to confirmation by the State Senate or the Commission on Judicial Performance, use the date you were appointed or nominated to the position.

Initial Statement: If your office or position has been added to a newly-adopted or newly-amended conflict of interest code, check the "Assuming Office/Initial" box and enter the effective date of the code or amendment, whichever is applicable.

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

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

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

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

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

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

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

Combining Statements: Certain types of statements may be combined. For example, if you leave office after January 1 but before the deadline for filing your annual statement, you may be able to combine your annual and leaving office statements. Consult your filing officer or the FPPC.

Part 4. Schedule Summary

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

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

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

Part 5. Verification

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

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

Questions/Answers

Q. I hold two other positions on boards in addition to my position with the county. Must I file three different statements of economic interests?

A. You may complete only one statement by listing the county and the two boards on the cover page of the Form 700 as the agencies for which you will be filing. Report your economic interests using the broadest jurisdiction and disclosure requirements assigned to you by the three agencies. Make two copies of the entire statement *before signing it*, sign each copy with an original signature, and distribute one original to the county and to each of the two boards.

Q. I have an investment interest in shares of stock from a company which does not have an office in my jurisdiction. Must I still disclose my investment interest in this company?

A. The definition of "doing business in the jurisdiction," for disclosure purposes, is not limited to whether or not the business has an office in your jurisdiction. Please refer to Appendix-4 for guidance.

Q. My financial interests are the same as those that I reported last year. May I file a copy of last year's statement?

A. No. You must file a new report for the correct period covered by the statement.

Q. My spouse and I have a living trust. The trust holds rental property in my jurisdiction, our primary residence, and investments in diversified mutual funds. I have full disclosure. How is this investment disclosed?

A. You must disclose the name of the trust on Schedule A-2. The rental property and its income are reportable. Your primary residence, and investments in diversified mutual funds registered with the SEC are not reportable.

Q. On Schedule B-Interests In Real Property, I have disclosed my interest in a rental property. Must I also disclose the names of my tenants?

A. Only disclose the names of those tenants from whom your pro rata share of the income received was $10,000 or more in the reporting period. Otherwise, leave the space blank. See Appendix-3 for guidance.

Q. When completing the schedules for disclosing loans received, what is meant by disclosing the "term" of the loan?

A. The term of a loan is the total number of months or years given for repayment of the loan at the time the loan was entered into. For example, report the term of a five-year automobile loan as "5 years" even if you have only three years left to pay on the loan.

Q. I solely own my own business. Where do I disclose my income – on Schedule A-2 or C?

A. Sources of income to a business in which you have an ownership interest of 10% or greater are disclosed on Schedule A-2. See Appendix-1 which defines "business entity" for more information.

Q. How do I disclose my spouse's income from an employer?

A. Report your spouse's employer as a source of income on Schedule C.

WHAT SCHEDULE DO I USE TO REPORT...?

Business positions ..... Schedule A-2 or Schedule C

Commission income ..... Schedule A-2 or Schedule C (see Appendix-1)

Gifts received by family members ..... May not be required, see Schedule E

Gifts received from family members ..... Not required, see Schedule E

Income to my business ..... Schedule A-2

Individual Retirement Account ..... Schedule A-1, or Schedule B (see Appendix-5)

Investments ..... Schedule A-1 or Schedule A-2

Loans made to others ..... Not required, but report repayments on Schedule C

Loans received ..... Schedule B for real property, or Schedule D

Loans to my business ..... Schedule A-2

Owning a business

- If I own less than 10% of a business ..... Schedule A-1
- If I own 10% or more of a business ..... Schedule A-2

Partnerships

- If I own less than 10% of a partnership ..... Schedule A-1
- If I own 10% or more of a partnership ..... Schedule A-2

Real estate holdings ..... Schedule B (Schedule A-2 if held by a business entity/trust)

Rental income ..... Schedule B or Schedule C

Rental property ..... Schedule B (Schedule A-2 if held by a business entity/trust)

Sale of my home/automobile/boat ..... Schedule C

Sole proprietorship ..... Schedule A-2

Speaking fees ("Honoraria") ..... May be prohibited (see Appendix-3)

Spouse's income ..... Schedule A-2 or Schedule C

Stock holdings

- If I own less than 10% of a company's stock ..... Schedule A-1
- If I own 10% or more of a company's stock ..... Schedule A-2

Tickets and passes ..... Schedule E

Travel reimbursements or payments ..... Schedule F

Trusts ..... Schedule A-2 (see Appendix-6)

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

STATEMENT OF ECONOMIC INTERESTS

A Public Document

Date Received
Official Use Only

Please type or print in ink

NAME (LAST) (FIRST) DAYTIME TELEPHONE NUMBER

MAILING ADDRESS *(May be business address)* STREET CITY ZIP CODE ( ) OPTIONAL: FAX / E-MAIL ADDRESS

COVER PAGE

1. Office, Agency, or Court

Provide precise name. *Do not use acronyms.*

Division, Board, District, if applicable:

Position:

➡ Expanded Statement – List agency/position:
(Attach a separate sheet if necessary. Do not use acronyms.)

Agency: _____

Position Title: _____

2. Office Jurisdiction *(Check one)*

☐ State
☐ County of _____
☐ City of _____
☐ Multi-County _____
☐ Other _____

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

☐ Assuming Office/Initial Date: ____/____/____

☐ Annual
(Check one)
- O The period covered is January 1, 1999, through December 31, 1999.
- O The period covered is ____/____/____, through December 31, 1999.

☐ Leaving Office Date Left: ____/____/____
(Check one)
- O The period covered is January 1, 1999, through the date of leaving office.
- O The period covered is ____/____/____, through the date of leaving office.

☐ Candidate

4. Schedule Summary

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

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

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

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

Schedule B ☐ Yes – schedule attached
Real Property

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

Schedule D ☐ Yes – schedule attached
Income – Loans

Schedule E ☐ Yes – schedule attached
Income – Gifts

Schedule F ☐ Yes – schedule attached
Income – Travel Payments

➡ ☐ No reportable interests

Total number of pages (including this cover page): _____

5. Verification

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on _____
(month, day, year)

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

INSTRUCTIONS — SCHEDULES A-1 AND A-2
INVESTMENTS

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

Reportable investments include:

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

You are <u>not</u> required to disclose:

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

REMINDERS

- ✓ Do you know your agency's jurisdiction?
- ✓ Did you hold investments at any time during the period covered by this statement?
- ✓ Code filers - your code may require disclosure of specific investments only.

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

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

TO COMPLETE SCHEDULE A-1:

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

Examples:

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

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

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

Schedule A-1

Investments

Stocks, Bonds, and Other Interests

(Ownership Interest is Less Than 10%)

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

Name _____

➤ NAME OF BUSINESS ENTITY

_____

GENERAL DESCRIPTION OF BUSINESS ACTIVITY

_____

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

NATURE OF INVESTMENT
- ☐ Stock
- ☐ Other _____ (Describe)

IF APPLICABLE, LIST DATE:

__/__/ 99 ACQUIRED __/__/ 99 DISPOSED

➤ NAME OF BUSINESS ENTITY

_____

GENERAL DESCRIPTION OF BUSINESS ACTIVITY

_____

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

NATURE OF INVESTMENT
- ☐ Stock
- ☐ Other _____ (Describe)

IF APPLICABLE, LIST DATE:

__/__/ 99 ACQUIRED __/__/ 99 DISPOSED

➤ NAME OF BUSINESS ENTITY

_____

GENERAL DESCRIPTION OF BUSINESS ACTIVITY

_____

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

NATURE OF INVESTMENT
- ☐ Stock
- ☐ Other _____ (Describe)

IF APPLICABLE, LIST DATE:

__/__/ 99 ACQUIRED __/__/ 99 DISPOSED

➤ NAME OF BUSINESS ENTITY

_____

GENERAL DESCRIPTION OF BUSINESS ACTIVITY

_____

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

NATURE OF INVESTMENT
- ☐ Stock
- ☐ Other _____ (Describe)

IF APPLICABLE, LIST DATE:

__/__/ 99 ACQUIRED __/__/ 99 DISPOSED

➤ NAME OF BUSINESS ENTITY

_____

GENERAL DESCRIPTION OF BUSINESS ACTIVITY

_____

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

NATURE OF INVESTMENT
- ☐ Stock
- ☐ Other _____ (Describe)

IF APPLICABLE, LIST DATE:

__/__/ 99 ACQUIRED __/__/ 99 DISPOSED

➤ NAME OF BUSINESS ENTITY

_____

GENERAL DESCRIPTION OF BUSINESS ACTIVITY

_____

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

NATURE OF INVESTMENT
- ☐ Stock
- ☐ Other _____ (Describe)

IF APPLICABLE, LIST DATE:

__/__/ 99 ACQUIRED __/__/ 99 DISPOSED

Comments: _____

INSTRUCTIONS – SCHEDULE A-2
INVESTMENTS

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

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

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

TO COMPLETE SCHEDULE A-2:

Part 1. Disclose the name and address of the business entity or trust. If you are reporting an interest in a business entity, complete the box as follows:

- Provide a general description of the business activity of the entity.
- Check the box indicating the fair market value of your investment.
- If you acquired or disposed of this interest during the reporting period, enter the date acquired or disposed.
- Identify the nature of your investment.
- Disclose the job title or business position you held with the entity, if any (i.e., if you were a director, officer, partner, trustee, employee, or held any position of management).

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

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

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

- Disclose each source of income and loans **to the business entity or trust** identified in part 1 if your pro rata share of the gross income (including your community property interest in your spouse's income) to the business entity or trust from that source was $10,000 or more during the reporting period.
- Disclose each individual or entity that was a source of commission income of $10,000 or more during the reporting period through the business entity identified in part 1 (see Appendix-1).

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

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

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

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

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

Schedule A-2

Investments, Income, and Assets of Business Entities/Trusts

(Ownership Interest is 10% or Greater)

CALIFORNIA 1999/2000 FORM 700
FAIR POLITICAL PRACTICES COMM.

Name _____

➤ 1. BUSINESS ENTITY OR TRUST

Name _____

Address _____

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

GENERAL DESCRIPTION OF BUSINESS ACTIVITY _____

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

IF APPLICABLE, LIST DATE:
__/__/99 ACQUIRED
__/__/99 DISPOSED

NATURE OF INVESTMENT
☐ Sole Proprietorship ☐ Partnership ☐ _____ Other

YOUR BUSINESS POSITION _____

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

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

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

_____

_____

_____

_____

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

Check one box:

☐ INVESTMENT ☐ REAL PROPERTY

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

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

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

IF APPLICABLE, LIST DATE:
__/__/99 ACQUIRED
__/__/99 DISPOSED

NATURE OF INTEREST
☐ Property Ownership/Deed of Trust ☐ Stock ☐ Partnership
☐ Leasehold _____ Yrs. remaining
☐ Other _____

➤ 4. (cont.)

Check one box:

☐ INVESTMENT ☐ REAL PROPERTY

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

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

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

IF APPLICABLE, LIST DATE:
__/__/99 ACQUIRED
__/__/99 DISPOSED

NATURE OF INTEREST
☐ Property Ownership/Deed of Trust ☐ Stock ☐ Partnership
☐ Leasehold _____ Yrs. remaining
☐ Other _____

➤ 4. (cont.)

Check one box:

☐ INVESTMENT ☐ REAL PROPERTY

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

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

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

IF APPLICABLE, LIST DATE:
__/__/99 ACQUIRED
__/__/99 DISPOSED

NATURE OF INTEREST
☐ Property Ownership/Deed of Trust ☐ Stock ☐ Partnership
☐ Leasehold _____ Yrs. remaining
☐ Other _____

Comments: _____

INSTRUCTIONS – SCHEDULE B
INTERESTS IN REAL PROPERTY

Reportable interests in real property are those located in your agency's jurisdiction (see Appendix-4), in which you, your spouse, or your dependent children had a direct, indirect, or beneficial interest aggregating $1,000 or more any time during the reporting period.

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 Appendix-4).
- A mining lease (e.g., oil, gas, gold).
- An interest in real property held in a retirement account (see Appendix-5).
- An interest in real property held by a business entity or trust in which you, your spouse, or your dependent children had a 10% or greater ownership interest (report on Schedule A-2).

You are <u>not</u> required to report:

- A residence (i.e.,home, vacation cabin) used exclusively as a personal residence. However, a residence in which you claim a business deduction may be reportable. In this situation, you may report the portion of the residence claimed as the tax deduction as the fair market value.
- Interests in real property held through a blind trust (see Appendix-6).

TO COMPLETE SCHEDULE B:

- Report the address or other precise location (e.g., assessor's parcel number) of the real property.
- Check the box indicating the fair market value of your interest in the property (regardless of what you owe on the property).
- If you acquired or disposed of your interest in the property during the reporting period, enter the date acquired or disposed.
- Identify the nature of your interest. If leasehold, also disclose the number of years remaining on the lease.

REMINDERS

✓ Income and loans already reported on Schedule B are not also required to be reported on Schedule C or D.

✓ Code filers - does your code require disclosure of real property?

- If you are reporting rental property, check the box indicating the gross rental income you received.
- If you had a 10% or greater interest in a rental property, list the name of each tenant if your pro rata share of the gross rental income from **that** tenant was $10,000 or more during the reporting period.
- Loans which aggregate $250 or more and are secured by real property may be reportable. Reportable loans may be disclosed on Schedule B or Schedule D. See instructions for Schedule D for an example and list of exceptions.
  - -- Provide the name and address of the lender.
  - -- Check the box describing the lender's business activity.
  - -- Disclose the interest rate and term of the loan. The term of a loan is the total number of months or years given for repayment of the loan at the time the loan was entered into. For variable interest rate loans, disclose the conditions of the loan (e.g., Prime +2) or the average interest rate paid during the reporting period.
  - -- 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 D.

Example:

Joe Nelson is a city planning commissioner. Joe received rental income of $12,000 during the reporting period from a single tenant who rented property he owned in the city's jurisdiction.

If Joe had received the $12,000 from two or more tenants, the tenants' names would not be required as long as no single source paid $10,000 or more.

➤STREET ADDRESS OR PRECISE LOCATION
4621 Story Way
CITY
Sacramento, CA 95814
FAIR MARKET VALUE
☐ $1,000 - $10,000
☐ $10,001 - $100,000
☑ Over $100,000
IF APPLICABLE, LIST DATE
__/__/99 ACQUIRED __/__/99 DISPOSED
NATURE OF INTEREST
☑ Rental Property ☐ Ownership/Deed of Trust ☐ Easement
☐ Leasehold ____ Yrs. remaining ☐ ____ Other
IF RENTAL PROPERTY, GROSS INCOME RECEIVED
☐ $0-$249 ☐ $250-$1,000 ☐ $1,001-$10,000 ☑ Over $10,000
SOURCES OF RENTAL INCOME: *If you own a 10% or greater interest, see the instructions for reporting sources of income.*
Suzette Jones
NAME OF LENDER
BFF Financial Services
ADDRESS
6200 Aspen Drive, Sacramento, CA 95814
BUSINESS ACITIVTY OF LENDER
☑ Financial Institution
☐ Other ____
INTEREST RATE
8 % ☐ None
TERM (Months/Years)
15 Years
HIGHEST BALANACE DURING REPORTING PERIOD
☐ $250-$1,000 ☑ $1,001-$10,000 ☐ Over $10,000

Schedule B

Interests in Real Property

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

Name

➤ STREET ADDRESS OR PRECISE LOCATION

CITY

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

IF APPLICABLE, LIST DATE:
__/__/99 ACQUIRED
__/__/99 DISPOSED

NATURE OF INTEREST
☐ Rental Property ☐ Ownership/Deed of Trust ☐ Easement
☐ Leasehold _____ Yrs. remaining ☐ _____ Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED
☐ $0 - $249 ☐ $250 - $1,000 ☐ $1,001 - $10,000 ☐ Over $10,000

SOURCES OF RENTAL INCOME: *If you own a 10% or greater interest, see the instructions for reporting sources of rental income.*

NAME OF LENDER

ADDRESS

BUSINESS ACTIVITY OF LENDER
☐ Financial Institution
☐ Other _____

INTEREST RATE _____% ☐ None

TERM (Months/Years)

HIGHEST BALANCE DURING REPORTING PERIOD
☐ $250 - $1,000 ☐ $1,001 - $10,000 ☐ Over $10,000

☐ Guarantor, if applicable

Check below if another loan is disclosed on Schedule D.
☐ Additional loan – refer to Sch. D.

➤ STREET ADDRESS OR PRECISE LOCATION

CITY

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

IF APPLICABLE, LIST DATE:
__/__/99 ACQUIRED
__/__/99 DISPOSED

NATURE OF INTEREST
☐ Rental Property ☐ Ownership/Deed of Trust ☐ Easement
☐ Leasehold _____ Yrs. remaining ☐ _____ Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED
☐ $0 - $249 ☐ $250 - $1,000 ☐ $1,001 - $10,000 ☐ Over $10,000

SOURCES OF RENTAL INCOME: *If you own a 10% or greater interest, see the instructions for reporting sources of rental income.*

NAME OF LENDER

ADDRESS

BUSINESS ACTIVITY OF LENDER
☐ Financial Institution
☐ Other _____

INTEREST RATE _____% ☐ None

TERM (Months/Years)

HIGHEST BALANCE DURING REPORTING PERIOD
☐ $250 - $1,000 ☐ $1,001 - $10,000 ☐ Over $10,000

☐ Guarantor, if applicable

Check below if another loan is disclosed on Schedule D.
☐ Additional loan – refer to Sch. D.

Comments: _____

INSTRUCTIONS – SCHEDULE C
INCOME & BUSINESS POSITIONS
(Income Other than Loans, Gifts, and Travel Payments)

Reportable income includes your gross income and your community property interest in your spouse's gross income aggregating $250 or more received from any source located in or doing business in your agency's jurisdiction (see Appendix-4). Gross income is the total amount of income before deducting expenses, losses, or taxes. Do not use this schedule to report income from or to a business entity in which you have a 10% or greater ownership interest. Use Schedule A-2 instead.

Also use Schedule C to report the job title or business position you held with a business entity (i.e., if you were a director, officer, partner, trustee, employee, or held any position of management) during the period covered by the report. **This requirement applies even if you received no income from the business entity during the period.**

Commonly reportable income includes:

- Salary/wages, per diem, reimbursement for expenses.
- Community property interest (50%) in your spouse's income – report the employer's name.
- Income received from investment interests (e.g., partnerships) reported on Schedule A-1.
- Commission income not required to be reported on Schedule A-2.
- Gross income from any sale, including the sale of a house or car. The total sale price is reportable regardless of any obligation you might have to pay on loans secured by the item.
- 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, including loan repayments from a campaign committee.
- An honorarium received by any newly appointed official or newly designated employee in the 12 months prior to assuming office, or for a non-incumbent candidate, in the 12 months prior to filing the candidate statement of economic interests. (See Appendix-3 concerning your ability to receive future honoraria.)

You are not required to report:

- Your salary or your spouse's salary or reimbursement for expenses and per diem from a federal, state, or local government agency.
- Campaign contributions.
- A cash bequest or cash inheritance.
- Dividends, interest, or other return on a security (e.g., stocks, bonds) which is registered with the Securities and Exchange Commission.
- Payments received under an insurance policy.
- Interest, dividends, or premiums on a time or demand deposit in a financial institution, shares in a credit union, an insurance policy, or a bond or other debt instrument issued by a government agency.
- Income of dependent children.
- Loan repayments received from your spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin unless he or she was acting as an intermediary or agent for any person not covered by this provision.
- Alimony or child support payments.
- Payments received under a defined benefit pension plan qualified under Internal Revenue Code Section 401(a).

TO COMPLETE SCHEDULE C:

- 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 of the source or business entity (e.g., retail sales, law firm).
- Disclose the job title or business position, if any, you held with a business entity.
- Check the box indicating the amount of gross income if you received $250 or more during the reporting period from the source or business entity.
- Identify the consideration for which the income was received.
- If your income is 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 Appendix-1). If your income is from rental property (and the property is not required to be listed on Schedule B), enter "Rental Income" under "Name", check the box indicating the gross income received, and, if you had a 10% or greater interest in the rental property, list the name of each tenant if your pro rata share of the gross income from that tenant was $10,000 or more during the reporting period.

Example:

Teri Smith is a member of the Sacramento County Board of Supervisors. Her spouse is a manager for a bank in her jurisdiction. She must report the name of her spouse's employer, the bank, as a source of income.

REMINDERS

- ✓ If your spouse is self-employed, report the business entity on Schedule A-2 instead of Schedule C.
- ✓ You are not required to disclose on Schedule C income already reported on Schedule A-2 or B or business positions reported on Schedule A-2.
- ✓ Was the income received during the period covered by this statement?
- ✓ Code filers - Your code may require disclosure of income only from specified sources.

Schedule C

Income & Business Positions

(Income Other than Loans, Gifts, and Travel Payments)

CALIFORNIA 1999/2000 FORM 700
FAIR POLITICAL PRACTICES COMM.

Name _____

➤ NAME OF SOURCE

ADDRESS

BUSINESS ACTIVITY, IF ANY, OF SOURCE

YOUR BUSINESS POSITION

GROSS INCOME RECEIVED
☐ $250 - $1,000 ☐ $1,001 - $10,000 ☐ Over $10,000

CONSIDERATION FOR WHICH INCOME WAS RECEIVED
☐ Salary ☐ Spouse's income ☐ Loan repayment
☐ Sale of _____ *(Property, car, boat, etc.)*
☐ Commission or ☐ Rental Income, *list each source of $10,000 or more*

☐ Other _____ *(Describe)*

➤ NAME OF SOURCE

ADDRESS

BUSINESS ACTIVITY, IF ANY, OF SOURCE

YOUR BUSINESS POSITION

GROSS INCOME RECEIVED
☐ $250 - $1,000 ☐ $1,001 - $10,000 ☐ Over $10,000

CONSIDERATION FOR WHICH INCOME WAS RECEIVED
☐ Salary ☐ Spouse's income ☐ Loan repayment
☐ Sale of _____ *(Property, car, boat, etc.)*
☐ Commission or ☐ Rental Income, *list each source of $10,000 or more*

☐ Other _____ *(Describe)*

➤ NAME OF SOURCE

ADDRESS

BUSINESS ACTIVITY, IF ANY, OF SOURCE

YOUR BUSINESS POSITION

GROSS INCOME RECEIVED
☐ $250 - $1,000 ☐ $1,001 - $10,000 ☐ Over $10,000

CONSIDERATION FOR WHICH INCOME WAS RECEIVED
☐ Salary ☐ Spouse's income ☐ Loan repayment
☐ Sale of _____ *(Property, car, boat, etc.)*
☐ Commission or ☐ Rental Income, *list each source of $10,000 or more*

☐ Other _____ *(Describe)*

➤ NAME OF SOURCE

ADDRESS

BUSINESS ACTIVITY, IF ANY, OF SOURCE

YOUR BUSINESS POSITION

GROSS INCOME RECEIVED
☐ $250 - $1,000 ☐ $1,001 - $10,000 ☐ Over $10,000

CONSIDERATION FOR WHICH INCOME WAS RECEIVED
☐ Salary ☐ Spouse's income ☐ Loan repayment
☐ Sale of _____ *(Property, car, boat, etc.)*
☐ Commission or ☐ Rental Income, *list each source of $10,000 or more*

☐ Other _____ *(Describe)*

Comments: _____

INSTRUCTIONS – SCHEDULE D
INCOME - LOANS
(Received or Outstanding)

Loans received or outstanding during the reporting period, which aggregate $250 or more from a single source located in or doing business in your jurisdiction are reportable (see Appendix-4). Because loans are a type of income, your community property interest in loans received by your spouse must also be counted.

See the Appendix for important information about loan prohibitions.

Commonly reportable loans include:

- Real estate loans.
- Margin accounts.
- Automobile loans and automobile leases.
- Campaign loans secured by your personal assets or for which you are personally liable.
- Student loans.
- Credit card and retail installment debts.

You are not required to report:

- Any loan from a commercial lending institution secured by your principal place of residence if the loan was made in the lender's regular course of business on terms available to the public without regard to your official status. However, loans on other residences may be reportable.
- Loans from a commercial lending institution made in the lender's regular course of business on terms available to the public without regard to your official status which, in the aggregate, did not exceed $10,000 at any time during the reporting period.
- Any retail installment or credit card debts incurred in the creditor's regular course of business on terms available to the public without regard to your official status which, in the aggregate, did not exceed $10,000 at any time during the reporting period.
- Any loan from your spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin or the spouse of any such person, unless the lender was acting as an intermediary or agent for any person not covered by this provision.
- Loans made to others. However, repayments may be reportable on Schedule C.
- A loan you co-signed for another person unless you made payments on the loan during the reporting period.

TO COMPLETE SCHEDULE D:

- Provide the name and address of the lender.
- Check the appropriate box describing the lender's business activity.
- Disclose the interest rate and the term of the loan.
  - -- 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.
  - -- 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 interest rate for an automobile lease is the money factor multiplied by the amount of time on the lease.
  - -- You may report "revolving" as the term of credit card loans from commercial lending institutions or loans against margin accounts with a stock broker.
  - -- If the conditions of a student loan are not known because they will be decided when you finish school, you may report "deferred."
- Check the box indicating the highest balance of the loan during the reporting period.
- Identify the security, if any, for the loan.

You are not required to disclose on Schedule D loans already reported on Schedule A-2 or B.

Example:

Colleen Jones is a city council member. She received a $15,000 equity loan on her principal residence from a commercial lending institution which she used to buy an automobile. Because the loan was secured by her principal residence, it is not reportable.

REMINDERS

- ✓ Do you know your agency's jurisdiction?
- ✓ Did you receive any loans or have loans outstanding during the period covered by this statement?
- ✓ Code filers - Income includes any loan. Did you receive a loan from an entity or individual required to be reported as a source of income under your code?
- ✓ For loan restrictions, see Appendix-3.

Schedule D

Income – Loans

(Received or Outstanding)

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

Name _____

➤ NAME OF LENDER

_____

ADDRESS

_____

BUSINESS ACTIVITY OF LENDER
☐ Financial Institution
☐ Other _____

INTEREST RATE _____% ☐ None

TERM (Months/Years) _____

HIGHEST BALANCE DURING REPORTING PERIOD
☐ $250 - $1,000 ☐ $1,001 - $10,000 ☐ Over $10,000

SECURITY FOR LOAN
☐ None ☐ Automobile ☐ Personal residence
☐ Real Property _____ *Street address*
_____ *City*
☐ Guarantor _____
☐ Other _____ *(Describe)*

➤ NAME OF LENDER

_____

ADDRESS

_____

BUSINESS ACTIVITY OF LENDER
☐ Financial Institution
☐ Other _____

INTEREST RATE _____% ☐ None

TERM (Months/Years) _____

HIGHEST BALANCE DURING REPORTING PERIOD
☐ $250 - $1,000 ☐ $1,001 - $10,000 ☐ Over $10,000

SECURITY FOR LOAN
☐ None ☐ Automobile ☐ Personal residence
☐ Real Property _____ *Street address*
_____ *City*
☐ Guarantor _____
☐ Other _____ *(Describe)*

➤ NAME OF LENDER

_____

ADDRESS

_____

BUSINESS ACTIVITY OF LENDER
☐ Financial Institution
☐ Other _____

INTEREST RATE _____% ☐ None

TERM (Months/Years) _____

HIGHEST BALANCE DURING REPORTING PERIOD
☐ $250 - $1,000 ☐ $1,001 - $10,000 ☐ Over $10,000

SECURITY FOR LOAN
☐ None ☐ Automobile ☐ Personal residence
☐ Real Property _____ *Street address*
_____ *City*
☐ Guarantor _____
☐ Other _____ *(Describe)*

➤ NAME OF LENDER

_____

ADDRESS

_____

BUSINESS ACTIVITY OF LENDER
☐ Financial Institution
☐ Other _____

INTEREST RATE _____% ☐ None

TERM (Months/Years) _____

HIGHEST BALANCE DURING REPORTING PERIOD
☐ $250 - $1,000 ☐ $1,001 - $10,000 ☐ Over $10,000

SECURITY FOR LOAN
☐ None ☐ Automobile ☐ Personal residence
☐ Real Property _____ *Street address*
_____ *City*
☐ Guarantor _____
☐ Other _____ *(Describe)*

Comments: _____

INSTRUCTIONS – SCHEDULE E
INCOME - GIFTS

"Gift" means 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 aggregating $50 or more received during the reporting period from a single source must be reported. **Gifts are reportable without regard to where the donor is located.**

It is the acceptance of a gift, not the ultimate use to which it is put, that imposes your reporting obligation. Therefore, 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 not known, 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.

Commonly reportable gifts include:

- Tickets/passes to sporting or entertainment events.
- Tickets/passes to amusement parks.
- Parking passes.
- Food, beverages, and accommodations, including that provided in direct connection with your attendance at a convention, conference, meeting, social event, meal, or like gathering, where you did not give a speech, participate in a panel or seminar, or provide a similar service.
- Rebates/discounts not made in the regular course of business to members of the public without regard to official status.
- Wedding gifts (see Appendix-6 to determine how to value).
- An honorarium. You may report an honorarium as income on Schedule C, rather than as a gift on Schedule E, if you provided services of equal or greater value than the payment received. (See the Appendix-3 regarding your ability to receive honoraria in the future.)
- Transportation and lodging (see Schedule F).
- Forgiveness of a loan received by you.

REMINDERS

- ✓ See Appendix-3 for gift and honoraria prohibitions.
- ✓ Code filers: Income includes any gift. Did you receive a gift from a reportable source?

You are not required to disclose:

- Gifts which were not used and which, within 30 days after receipt, were returned to the donor or delivered to a charitable organization without being claimed by you as a charitable contribution for tax purposes.
- Gifts from your spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, aunt, uncle, niece, nephew, or first cousin or the spouse of any such person, unless the donor was acting as an agent or intermediary for a reportable source who was the true donor.
- Gifts of hospitality involving food, drink, or occasional lodging provided in an individual's home when the individual or a member of the individual's family was present.
- Gifts equal in value exchanged between you and an individual, other than a lobbyist, on holidays, birthdays, or similar occasions.
- Gifts of informational material provided to assist you in the performance of your official duties, such as books, pamphlets, reports, calendars, periodicals, or educational seminars.
- A cash bequest or cash inheritance.
- Personalized plaques and trophies with an individual value of less than $250.
- Campaign contributions.
- Tickets to a fundraising event for a 501(c)(3) organization.
- Tickets to political fundraisers.
- Gifts given directly to members of your immediate family unless you received direct benefit from the gift or you exercised direction and control over the use or disposition of the gift.
- A pass or ticket which provided a one-time admission to an event (theater performance, sporting event) that was not used and was not transferred to another person. Commission Regulation 18946.1 provides a method for determining the value of a ticket or pass that was used or transferred to another person and for determining the value of passes or tickets which provide repeated admission to facilities or services.
- Food, beverages, and necessary accommodations provided directly in connection with an event at which you gave a speech, participated in a panel or seminar, or provided a similar service.

TO COMPLETE SCHEDULE E:

- Disclose the name and address and business activity, if any, of the source.
- Describe the gift and provide the fair market value of the gift and the date (month, day, and year) of receipt.

Schedule E

Income – Gifts

CALIFORNIA 1999/2000 FORM 700
FAIR POLITICAL PRACTICES COMM.

Name _____

➤ NAME OF SOURCE

_____

ADDRESS

_____

BUSINESS ACTIVITY, IF ANY, OF SOURCE

_____

DESCRIPTION OF GIFT(S)	VALUE	DATE
_____	$_____	___/___/___
_____	$_____	___/___/___
_____	$_____	___/___/___

➤ NAME OF SOURCE

_____

ADDRESS

_____

BUSINESS ACTIVITY, IF ANY, OF SOURCE

_____

DESCRIPTION OF GIFT(S)	VALUE	DATE
_____	$_____	___/___/___
_____	$_____	___/___/___
_____	$_____	___/___/___

➤ NAME OF SOURCE

_____

ADDRESS

_____

BUSINESS ACTIVITY, IF ANY, OF SOURCE

_____

DESCRIPTION OF GIFT(S)	VALUE	DATE
_____	$_____	___/___/___
_____	$_____	___/___/___
_____	$_____	___/___/___

➤ NAME OF SOURCE

_____

ADDRESS

_____

BUSINESS ACTIVITY, IF ANY, OF SOURCE

_____

DESCRIPTION OF GIFT(S)	VALUE	DATE
_____	$_____	___/___/___
_____	$_____	___/___/___
_____	$_____	___/___/___

➤ NAME OF SOURCE

_____

ADDRESS

_____

BUSINESS ACTIVITY, IF ANY, OF SOURCE

_____

DESCRIPTION OF GIFT(S)	VALUE	DATE
_____	$_____	___/___/___
_____	$_____	___/___/___
_____	$_____	___/___/___

Comments: _____

INSTRUCTIONS — SCHEDULE F
INCOME – GIFTS
TRAVEL PAYMENTS, ADVANCES, AND REIMBURSEMENTS

Reportable travel payments include advances and reimbursements for travel and related lodging and subsistence.

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.
- Travel payments received from your employer in the normal course of your employment.
- Payments or reimbursements for transportation within California in connection with an event at which you gave a speech, participated in a panel or seminar, or performed a similar service.
- Food, beverages, and necessary accommodations received directly in connection with an event held inside or outside California at which you gave a speech, participated in a panel, or provided a similar service. Note that payments for transportation outside of California are reportable.
- A travel payment which was received from a nonprofit entity exempt from taxation under Section 501(c)(3) of the Internal Revenue Code for which you provided equal or greater consideration.

REMINDERS

- ✓ Did you receive travel payments during the period covered by this statement?
- ✓ Code filers - Travel payments, advances, and reimbursements for travel, like gifts, are types of "income." Did you receive travel payments from any individual or entity required to be reported as a source of income under your code?

TO COMPLETE SCHEDULE F:

- Disclose the name and address of the source of the travel payment.
- Identify the business activity, if any, of the source.
- Check the box to indicate if the payment was a gift or income, report the amount, and disclose the date(s) if applicable.
  - -- Travel payments are gifts if you did not provide services which were equal to or greater in value than the payments received. You must disclose gifts aggregating $50 or more from a single source during the period covered by the statement. Gifts of travel are reportable without regard to where the donor is located.

    When reporting travel payments which are gifts, you must provide a description of the gift and the date(s) received.

  - -- Travel payments are income if you provided services which were equal to or greater in value than the payments received. You must disclose income aggregating $250 or more from a single source during the period covered by the statement.

    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 which are income.

Gifts of travel may be subject to a $300 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 may 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 Commission's Fact Sheet on Gifts, Honoraria, Travel, and Loans (1/2000), which can be obtained from your filing officer or the FPPC.

Schedule F

Income – Gifts

Travel Payments, Advances, and Reimbursements

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

Name _____

➤ NAME OF SOURCE

ADDRESS

CITY AND STATE

BUSINESS ACTIVITY, IF ANY, OF SOURCE

TYPE OF PAYMENT: *(check one)*
☐ Gift ☐ Income

AMT: $_____ DATE(S): ___/___/___ ___/___/___
(If applicable)

DESCRIPTION: _____

➤ NAME OF SOURCE

ADDRESS

CITY AND STATE

BUSINESS ACTIVITY, IF ANY, OF SOURCE

TYPE OF PAYMENT: *(check one)*
☐ Gift ☐ Income

AMT: $_____ DATE(S): ___/___/___ ___/___/___
(If applicable)

DESCRIPTION: _____

➤ NAME OF SOURCE

ADDRESS

CITY AND STATE

BUSINESS ACTIVITY, IF ANY, OF SOURCE

TYPE OF PAYMENT: *(check one)*
☐ Gift ☐ Income

AMT: $_____ DATE(S): ___/___/___ ___/___/___
(If applicable)

DESCRIPTION: _____

➤ NAME OF SOURCE

ADDRESS

CITY AND STATE

BUSINESS ACTIVITY, IF ANY, OF SOURCE

TYPE OF PAYMENT: *(check one)*
☐ Gift ☐ Income

AMT: $_____ DATE(S): ___/___/___ ___/___/___
(If applicable)

DESCRIPTION: _____

➤ NAME OF SOURCE

ADDRESS

CITY AND STATE

BUSINESS ACTIVITY, IF ANY, OF SOURCE

TYPE OF PAYMENT: *(check one)*
☐ Gift ☐ Income

AMT: $_____ DATE(S): ___/___/___ ___/___/___
(If applicable)

DESCRIPTION: _____

➤ NAME OF SOURCE

ADDRESS

CITY AND STATE

BUSINESS ACTIVITY, IF ANY, OF SOURCE

TYPE OF PAYMENT: *(check one)*
☐ Gift ☐ Income

AMT: $_____ DATE(S): ___/___/___ ___/___/___
(If applicable)

DESCRIPTION: _____

Comments: _____

APPENDIX

The instructions located on the back of each schedule describe the types of interests that must be reported. The purpose of this Appendix is to explain other terms used in this form that are not defined in the instructions to the schedules or elsewhere.

Assuming Office Date: Your assuming office date is the date you were sworn in, employed, or otherwise authorized to serve in the position.

Blind Trust: See Trusts, Appendix-6.

Business Entity: Any organization or enterprise operated for profit, including a proprietorship, partnership, firm, business trust, joint venture, syndicate, corporation, or association. This would include a business for which you take business deductions for tax purposes, such as a small business operated in your home.

Code Filer: An individual who has been designated in a state or local agency's conflict of interest code to file statements of economic interests.

Commission Income: "Commission income" means gross payments received as a broker, agent, or salesperson, including insurance brokers or agents, real estate brokers or agents, travel agents or salespersons, stockbrokers, and retail or wholesale salespersons, among others.

You may be required to disclose the names of sources of commission income if your pro rata share of the gross income was $10,000 or more from a single source during the reporting period. If your spouse received commission income, you would disclose your community property share (50%) of that income, i.e., the names of sources of $20,000 in gross commission income received by your spouse.

Report commission income as follows:

- If the income was received through a business entity in which you or your spouse had a 10% or greater ownership interest (or you were an independent contractor or agent), use Schedule A-2.
- If the income was received through a business entity in which you or your spouse had no ownership interest or less than a 10% ownership interest, use Schedule C.

The "source" of commission income generally includes all parties to a transaction, and each is attributed the full value of the commission.

For example, you are a partner in Smith and Jones Insurance Company and have a 50% ownership interest in the company. You sold two Businessmen's Insurance Company policies to XYZ Company during the reporting period. You received commission income of $5,000 from the first transaction and $6,000 from the second. On Schedule A-2, report your partnership interest in and income received from Smith and Jones Insurance Company in Parts 1 and 2. In Part 3, list both Businessmen's Insurance Company and XYZ Company as sources of $10,000 or more in commission income.

Note: If your pro rata share of commission income from a single source is $250 or more, you may be required to disqualify yourself from decisions affecting that source of income, even though you are not required to report it.

Conflict of Interest: A public official or employee has a conflict of interest under the Act when all of the following occur:

- The official makes, participates in making, or uses his or her official position to influence a governmental decision;
- It is reasonably foreseeable that the decision will affect the official's economic interest;
- The effect of the decision on the official's economic interest will be material; and
- The effect of the decision on the official's economic interest will be different than its effect on the public generally.

Conflict of Interest Code: The Act requires every state and local government agency to adopt a conflict of interest code. The code may be contained in a regulation, policy statement, or a city or county ordinance.

An agency's conflict of interest code must designate all officials and employees of, and consultants to, the agency who make or participate in making governmental decisions which could cause conflicts

of interest. These individuals are required by the code to file statements of economic interests and to disqualify themselves when conflicts of interest occur.

The disclosure required under a conflict of interest code for a particular designated official or employee should include only the kinds of personal economic interests he or she could significantly affect through the exercise of his or her official duties. For example, an employee whose duties are limited to reviewing contracts for supplies, equipment, materials, or services provided to the agency should be required to report only those interests he or she holds which are likely to be affected by the agency's contracts for supplies, equipment, materials, or services.

Consultant: An individual who contracts with or whose employer contracts with state or local government agencies and who makes or participates in making governmental decisions. Consultants may be required to file Form 700. The obligation to file Form 700 is always imposed on the individual who is providing services to the agency, not on the business or firm which employs the individual. (Obtain the consultant fact sheet from the FPPC for more information.)

Designated Employee: An official or employee of a state or local government agency whose position has been designated in the agency's conflict of interest code to file statements of economic interests. Individuals who contract with government agencies (consultants) may also be designated in a conflict of interest code.

Disclosure Category: The section of an agency's conflict of interest code that specifies the types of personal economic interests officials and employees of the agency must disclose on their statements of economic interests. Disclosure categories are usually contained in an appendix or attachment to the conflict of interest code. Contact your agency to get a copy of your disclosure category.

Diversified Mutual Fund: Diversified portfolios of stocks, bonds, or money market instruments that are managed by investment companies whose business is pooling the money of many individuals and investing it to seek a common investment goal. Mutual funds are managed by trained professionals who buy and sell securities. A typical mutual fund will own between 75 to 100 separate securities at any given time so they also provide instant diversification. *Only diversified mutual funds registered with the Securities and Exchange Commission are exempt from disclosure.*

Elected State Officer: Elected state officers include the Governor, Lieutenant Governor, Attorney General, Insurance Commissioner, State Controller, Secretary of State, State Treasurer, Superintendent of Public Instruction, member of the State Legislature, and member of the State Board of Equalization.

Enforcement: The FPPC investigates suspected violations of the Act. Other law enforcement agencies (the Attorney General or district attorney) may also initiate investigations under certain circumstances. If violations are found, the Commission may initiate administrative enforcement proceedings which could result in the imposition of monetary penalties of up to $2,000 per violation.

Instead of administrative prosecution, a civil action may be brought for negligent or intentional violations by the appropriate civil prosecutor (the Commission, Attorney General, or district attorney), or a private party residing within the jurisdiction. In civil actions, the measure of damages is up to the amount or value not properly reported.

Persons who violate the conflict of interest disclosure provisions of the Act can also be subject to discipline by their agency, including dismissal.

Finally, a knowing or willful violation of any provision of the Act is a misdemeanor. Persons convicted of a misdemeanor may be disqualified for four years from the date of the conviction from serving as a lobbyist or running for elective office, in addition to other penalties which may be imposed. The Act also provides for numerous civil penalties, including monetary penalties and damages, and injunctive relief from the courts.

Expanded Statement: Some officials or employees may have multiple filing obligations (e.g., a city councilperson who also holds a designated position with a county agency, board, or commission). Such officials or employees may complete one "expanded" statement covering the disclosure requirements for all positions and file a complete, originally signed copy with each agency.

Fair Market Value: When reporting the value of an investment, interest in real property, or gift, you must disclose the fair market value, i.e., what the item would sell for on the open market. This is particularly important when valuing gifts, because the fair market value of a gift may be different from the amount it cost the donor to provide the gift. For example, the wholesale cost of a bouquet of flowers may be $10, but the fair market value may be $25 or more. In addition, there are special rules for valuing free tickets and passes. Call the FPPC for assistance.

Gift and Honoraria Prohibitions:

Gifts:

State and local officials who are listed in Gov. Code section 87200, (except judges, see below), candidates for those elective offices (including judicial candidates), and officials and employees of state and local government agencies who are designated in a conflict of interest code are prohibited from accepting a gift or gifts aggregating more than $300 in a calendar year from a single source.

In addition, elected state officers, candidates for elective state offices, and officials and employees of state agencies are subject to a $10 per calendar month limit on gifts from lobbyists and lobbying firms registered with the Secretary of State.

Honoraria:

State and local officials who are listed in Gov. Code section 87200, (except judges, see below), candidates for those elective offices (including judicial candidates), and employees of state and local government agencies who are designated in a conflict of interest code are prohibited from accepting honoraria for any speech given, article published, or attendance at any public or private conference, convention, meeting, social event, meal, or like gathering.

Exceptions:

- Some gifts are not reportable or subject to the gift and honoraria prohibitions, and other gifts may not be subject to the prohibitions but are reportable. For detailed information, see the FPPC Fact Sheet on Gifts, Honoraria, Travel, and Loans (1/2000). The fact sheet can be obtained from your filing officer or the Fair Political Practices Commission at (916) 322-5660.
- The $300 gift limit and honorarium prohibition do not apply to a part-time member of the governing board of a public institution of higher education, unless the member is also an elected official.
- If you are designated in a state or local government agency's conflict of interest code, the $300 gift limit and honorarium prohibition are applicable only to sources you would be required to report on your statement of economic interests. However, this exception is not applicable if you also hold a position listed in Gov. Code section 87200 (see Instructions-2).
- For state agency officials and employees, the $10 lobbyist/lobbying firm gift limit is applicable only to lobbyists and lobbying firms registered to lobby your agency. This exception is not applicable if you are an elected state officer or a member or employee of the State Legislature.

Judges:

Section 170.9 of the Code of Civil Procedure imposes gift limits on judges and prohibits judges from accepting any honorarium. Section 170.9 is enforced by the Commission on Judicial Performance. The FPPC has no authority to interpret or enforce the Code of Civil Procedure.

Income Reporting: Reporting income under the Act is different than reporting income for tax purposes. The Act requires gross income (the amount received before deducting losses, expenses, or taxes) to be reported.

Pro Rata Share: The instructions for reporting certain types of income (e.g., business entity income and rental income) refer to your pro rata share of the income received. Your pro rata share is normally based on your ownership interest in the entity or property. For example, if you are a sole proprietor, you must disclose 100% of the gross income received by your business entity on Schedule A-2. If you own 25% of a piece of rental property, you must report 25% of the gross rental income received.

When you are required to report sources of income to a business entity, sources of rental income, or sources of commission income, you are only required to disclose individual sources of income of $10,000 or more. However, you may be required to **disqualify** yourself from decisions affecting sources of $250 or more in income, even though you are not required to report it.

Jurisdiction: A public official or employee required to file statements of economic interests must disclose interests which are located in or doing business in his or her "jurisdiction." (See Instructions-5, to determine what your jurisdiction is.)

A business entity is located in or doing business in your jurisdiction if it, a parent or subsidiary, or a related business entity:

- Manufactures, distributes, sells, or purchases products or services on a regular basis in the jurisdiction;
- Has an interest in real property in the jurisdiction; or
- Has an office or sales outlet in the jurisdiction.

A business entity is also considered to be "doing business" in your jurisdiction if it, a parent or subsidiary, or a related business entity:

- Plans to do any of the above; or
- Has done any of the above within the last two years.

The same criteria are used to determine whether an individual, organization, or other entity is located in or doing business in your jurisdiction.

Exception:

- Gifts are reportable regardless of the location of the donor. For example, a state agency official with full disclosure must report gifts from sources located outside of California. (Designated employees should consult their disclosure category to determine if the donor of a gift is the type that must be disclosed.)

For reporting interests in real property, if your jurisdiction is the state, you must disclose real property located anywhere within the state of California.

For local agencies, an interest in real property is located in your jurisdiction if any part of the property is located in, or within two miles of, the region, city, county, district, or other geographical area in which the agency has jurisdiction, or if the property is located within two miles of any land owned or used by the agency.

Leasehold Interest: The term "interest in real property" includes leasehold interests. An interest in a lease on real property is reportable if the value of the leasehold interest is $1,000 or more. The value of the interest is the total amount of rent owed by you during the reporting period, or on a candidate, assuming office, or initial statement, during the prior 12 months.

You are not required to disclose a leasehold interest with a value of less than $1,000 or a month-to-month tenancy.

Loans: Beginning January 1, 1998, state and local elected and appointed officials and employees are prohibited from receiving any personal loan aggregating more than $250 from an official, employee, or consultant of their governmental agencies or any governmental agency over which the official or the official's agency has direction or control. In addition, loans of more than $250 from any person who has a contract with the official's agency or an agency under the official's control are prohibited unless the loan is from a commercial lending institution or part of a retail installment or credit card transaction made in the regular course of business on terms available to members of the public.

State and local elected officials are also prohibited from receiving any personal loan of $500 or more unless the loan is in writing and clearly states the terms of the loan, including the parties to the loan agreement, the date, amount, and term of the loan, the date or dates when payments are due, the amount of the payments, and the interest rate on the loan.

Campaign loans and loans from family members are not subject to the $250 and $500 loan prohibitions.

A personal loan made to a public official that is not being repaid or is being repaid below certain amounts will become a gift to the official under certain circumstances. Contact the FPPC at (916) 322-5660 for further information.

Privileged Information: You are not required to disclose on Schedule A-2, Part 3 the name of a person who paid fees or made payments to a business entity if disclosure of the name would violate a legally recognized privilege under California law. For example, a name is protected by attorney-client privilege when facts concerning an attorney's representation of an anonymous client are publicly known and those facts, when coupled with

disclosure of the client's identity, might expose the client to an official investigation or to civil or criminal liability.

A patient's name is protected by physician-patient privilege when disclosure of the patient's name would also reveal the nature of the treatment received by the patient because, for example, the physician is recognized as a specialist. FPPC Regulation 18740 sets out specific procedures that must be followed in order to withhold the name of a source of income.

Public Officials Who Manage Public Investments: Individuals who invest public funds in revenue-producing programs must file Form 700. This includes individuals who direct or approve investment transactions, formulate or approve investment policies, and establish guidelines for asset allocations. FPPC Regulation 18701 defines "public officials who manage public investments" to include the following:

- Members of boards and commissions, including pension and retirement boards or commissions, and committees thereof, who exercise responsibility for the management of public investments;
- High-level officers and employees of public agencies who exercise primary responsibility for the management of public investments, such as chief or principal investment officers or chief financial managers; and
- Individuals who, pursuant to a contract with a state or local government agency, perform the same or substantially all the same functions described above.

Retirement Accounts (e.g., deferred compensation and individual retirement accounts (IRAs)): Assets held in retirement accounts must be disclosed if the assets are reportable items, such as common stock (investments) or real estate (interests in real property). The most common reportable and non-reportable investments are listed on the instructions for Schedules A-1 and A-2. The most common reportable and non-reportable interests in real property are listed on the instructions for Schedule B.

If your retirement account holds reportable assets, only disclose the assets held in the account, not the account itself.

Schedule A-1: Report any business entity in which the value of your investment interest was $1,000 or more during the reporting period. (Use Schedule A-2 if you have a 10% or greater ownership interest in the business entity.)

Schedule B: Report any piece of real property in which the value of your interest was $1,000 or more during the reporting period.

Examples:

- Alice McSherry deposits $500 per month into her employer's deferred compensation program. She has chosen to purchase shares in two diversified mutual funds registered with the Securities and Exchange Commission. Because her funds are invested solely in non-reportable mutual funds (see Schedule A instructions), Alice has no disclosure requirements with regard to the deferred compensation program.
- Bob Allison has $6,000 in an individual retirement account with an investment firm. He has chosen to purchase common stock in several companies doing business in his jurisdiction. One of his stock holdings, Gala Computers, reached a value of $2,500 during the reporting period. The value of his investment in each of the other companies was less than $1,000. Bob must report Gala Computers as an investment on Schedule A-1 because the value of his stock in that company was $1,000 or more.
- Adriane Fisher has $2,000 in a retirement fund that invests in real property located in her jurisdiction. The value of her interest in each piece of real property held in the fund was less than $1,000 during the reporting period. Although her retirement fund holds reportable assets, she has no disclosure requirement because she did not have a $1,000 or greater interest in any single piece of real property. If, in the future, the value of her interest in a single piece of real property reaches or exceeds $1,000, she will be required to disclose the real property on Schedule B for that reporting period.

Trusts: Investments and interests in real property held by a trust (including a living trust) are reported on Schedule A-2 if you, your spouse, or your dependent children had a 10% or greater interest in the trust and your pro rata share of a single investment or interest in real property was $1,000 or more.

You have an interest in a trust if you are a trustor and:

- Can revoke or terminate the trust;
- Have retained or reserved any rights to the income or principal of the trust or retained any reversionary or remainder interest; or
- Have retained any power of appointment, including the power to change the trustee, or the beneficiaries.

Or you are a beneficiary and:

- Presently receive income; or
- Have an irrevocable future right to receive income or principal. (See FPPC Regulation 18234 for more information.)

Blind Trusts:

A blind trust is a trust managed by a disinterested trustee who has complete discretion to purchase and sell assets held by the trust. If you have a direct, indirect, or beneficial interest in a blind trust, you may not be required to disclose your pro rata share of the trust's assets or income. However, the trust must meet certain standards which are set out in FPPC Regulation 18235, and you must disclose reportable assets originally transferred into the blind trust and income from those original assets until they have been disposed of by the trustee.

Trustees:

If you are only a trustee, you do not have a reportable interest in the trust. However, you may be required to report the income you received from the trust for performing trustee services.

Wedding Gifts: Wedding gifts must be disclosed if they were received from a reportable source during the period covered by the statement. Gifts valued at $50 or more are reportable; however, a wedding gift is considered a gift to both spouses equally. Therefore, you would count one-half of the value of a wedding gift to determine if it is reportable and need only report individual gifts with a total value of $100 or more unless a particular gift can only be used by you or is intended only for your use.

For example, you receive a placesetting of china valued at $150 from a reportable source (e.g., not a family member) as a wedding gift. Because the value to you is $50 or more, you must report the gift on Schedule E but may state its value as $75.

Wedding gifts are not subject to the $300 gift limit, but they are subject to the $10 lobbyist/lobbying firm gift limit for state officials.