

Urban Charter Schools Collective (UCSC)
Board Meeting Agenda
May 8, 2017
Regular Board Meeting Agenda
This meeting is being video recorded.

Board Members

Miles E. Myles President (Term Expires June 2019)
Dr. Lance Fang, Vice President (Term Expires June 2018)
Dr. Dennis Mah, Board Treasurer (Term Expires June 2017)
Chandra Roughton, Board Secretary (Term Expires June 2019)
See Lor, Board Member (Term Expires June 2017)
Vacant, Board Member (Term Expires June 2018)
Vacant, SCUSD Representative (No expiration)

6:00 p.m. Convene
6:15 p.m. Closed Session
6:40 p.m. Reconvene Open Session
9:00 p.m. Adjourn

Lisbon Elementary Staff Room
7555 S. Land Park Drive, Sacramento 95831

* Supporting materials will be distributed at the meeting.

- 1. CALL TO ORDER 6:00 PM**
- 2. BOARD ROLL CALL 6:01 PM**
- 3. ADJUST AGENDA ITEMS AS NEEDED 6:03 PM**
- 4. PUBLIC COMMENT – Limit Two Minutes Per Person and Ten Minutes Per Issue Listed in the Agenda 6:05 PM**

Closed Session: 6:15 PM

- C-1. Personnel (hiring, dismissal, release, reassignment, compensation, evaluation, etc.)
- C-2. Litigation (OCR, Concerns, Complaints, Lawsuits, etc.)
- C-3. Discuss Resignation, Election of Officer(s) and Appointment of New Board Member(s)

Closed session minutes from previous month's meeting will be distributed during closed session.

Closed session intended for:

- 1) considering appointment, employment, evaluation of performance, discipline or dismissal of an employee (employee may request hearing of discipline or complaint be done in opens session);
- 2) meeting with law enforcement or security personnel concerning the security of public buildings and services;
- 3) receiving advice from legal counsel concerning existing litigation, initiating litigation, or situations involving significant exposure to litigation;
- 4) considering labor negotiations, although final decisions concerning salaries must be made in public;
- 5) considering price and term in connection to purchase, sale, exchange or lease of real property.

Definition: Significant exposure to litigation is created when: 1) existing facts and circumstances are not known to plaintiffs, 2) a claim is received threatening litigation, 3) a person at a public meeting threatens litigation, 4) a person outside a public meeting threatens litigation and an agency official having knowledge of the threat makes a record of the statement prior to the meeting. Brown Act 54956.9(b) (3)

- 5. REPORT OUT CLOSED SESSION 6:40 PM**
- 6. CONSENT AGENDA 6:45 PM***
 - 6.1 Approval of Regular Board Meeting Minutes for April 17, 2017
 - 6.2 Approval on Curriculum Policy #4, 2017-18 Instructional Calendar
- 7. ACTION ITEM – Approval of 2017-2018 Employee Appointments and Salaries 6:55 PM***
- 8. ACTION ITEM – Approval of Request for Proposal: Middle School Project Manager 7:10 PM***
- 9. DISCUSSION ITEM – Board Middle School Workshop/Strategic Plan and Other Initiatives (1 hour) 7:20 PM***

NOTE: If you need a disability-related modification or accommodation, including auxiliary aids or services, to participate in the public meeting, please contact Lee Yang (916) 752-8791 at least 48 hours before the scheduled Board meeting so we may make every reasonable effort to accommodate you. [Government Code § 54954.2; Americans with Disabilities Act of 1990, § 202 (42 U.S.C. §12132)]
Regularly Scheduled UCSC Board meetings are held on the second Monday of each month, except as noted.

- All meetings start at 6:00 PM and are conducted in the Lisbon Elementary staff lounge.

- Regular board meetings for 2016 – 2017 have been scheduled for Aug. 8, Sept. 12, Oct. 10, Nov. 14, Dec. 12, Jan. 9, 2015, Feb. 6, Mar. 13, Apr 17, May 8, June 12, June 26 (4th Monday)

10. INFORMATIONAL ITEM – Monthly Administrative Reports

- 10.1 Principal’s Report on Instruction & Learning 8:20 PM*
- 10.1.1 Enrollment, Attendance & Student Disciplinary Actions
- 10.1.2 Core Curriculum & Instruction/ Instructional and Delivery Plan
- 10.1.3 LCAP Update
- 10.2 Chief Financial Officer’s Summary of Finance & Operation 8:30 PM*
- 10.2.1 Financials through Previous Month
- 10.2.2 Draft 3 of the 2017-18 Budget & LCAP Plan
- 10.2.3 Upcoming Projects Reports, Contracts & MOU

11. INFORMATIONAL ITEM – Superintendent’s Report/Update 8:40 PM*

- 11.1 Monthly Summary Report
- 11.2 Website Update

12. BOARD MEMBERS IDENTIFY ITEMS FOR NEXT BOARD AGENDA 8:50 PM

13. ADJOURN 9:00 PM

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Calendar of Regular Board Meetings

Approved and Adopted on June 13, 2016

Regularly Scheduled UCSC Board meetings are held on the second Monday of each month, except as noted below for November and June. All meetings start at 6:00 PM and are conducted in the Lisbon Staff Lounge located at 7555 South Land Park Drive in Sacramento, CA 95831.

Each regular meeting will have the following two agenda items:

- 1) Principal's Report on Instruction & Learning which includes: ELAC update, Academy Council update, enrollment & attendance update, and suspension & referral update.
- 2) Chief Financial Officer's summary of Finance & Operation which includes: profit & loss statement for through the end of the prior month and cash flow update,

August 8, 2016	September 12, 2016	October 10, 2016	November 14, 2016
<ul style="list-style-type: none"> Review actual enrollment and attendance and compare to projected Review work of board nominating committee Sick Leave/Vacation Policy Staff evaluation process Preparing for annual board self-evaluation Appoint nominating committee for vacant board position(s) Update Board priorities 	<ul style="list-style-type: none"> Annual Board organizational meeting Annual Board self-evaluation Review annual program audit before submission to SCUSD by the principal Approve prior year unaudited actuals – due to SCOE 9/15 Set goals for next 12 months Discuss Academy Council and Board relationship; See governance section of charter Micromanagement Update Board priorities 	<ul style="list-style-type: none"> Update Board priorities 	<ul style="list-style-type: none"> Update Board priorities Receive & review prior year fiscal audit conducted by Gilbert Associates –due to district, county, CDE, and state controller by 12/15
December 12, 2016	January 9, 2017	February 6, 2017	March 13, 2017
<ul style="list-style-type: none"> Approve 1st Interim Financial Report for July 1-Oct. 31st due to SCUSD and SCOE by Dec. 15 Introduce mid-year budget revisions to 2014-15 budget for approval at January meeting Update Board priorities 	<ul style="list-style-type: none"> Reviewing the Hmong Language Development Program Review P-1 Attendance report submitted to CDE to compare project & actual attendance. P-1 ended on Dec. 31 Approve mid-year budget revisions to 2016-17 budget Review random drawing (lottery procedure) when applicants outnumber available seats Plan for board member and academy council training Update Board priorities 	<ul style="list-style-type: none"> Approve Budget Development Calendar for creating next year's budget Review enrollment and staffing projections in preparation for next year's staffing. Review preliminary budget for next fiscal year based on governor's proposal Approve ConApp Part 2. Due to CDE on Feb 24 Discuss staff release procedures Update Board priorities 	<ul style="list-style-type: none"> Approve 2nd Interim Financial Report for July 1 - Jan. 31st and due to SCUSD and SCOE by Mar. 15 Review parent involvement policy Approve instructional calendar for the next school year Review admin, teacher, and other staff compensation Update Board priorities
April 17, 2017	May 8, 2017	June 12, 2017	June 26, 2017
<ul style="list-style-type: none"> Board reviews and gives feedback to Academy Council on their budget recommendations for next year Approve 2nd budget revisions to 2016-17 budget Update one-year study and application process to join new SELPA Salary schedule for 2017-18 Update Board priorities 	<ul style="list-style-type: none"> If released, review governor's May revisions to next year's proposed budget. Might not be released until the 15th Review P-2 Attendance report submitted to CDE to compare project and actual attendance. P-1 ended on April 15th Approve new hires Approve list of employees with reasonable assurance of returning next year Update Board priorities 	<ul style="list-style-type: none"> Public hearing on the updated-LCAP and 2017-18 budget. Update Board priorities 	<ul style="list-style-type: none"> Approve next year's budget and submit to SCUSD and SCOE by July 1st Annual review and affirmation of Title I Parent Involvement Policy ConApp Part 1 due June 30 for Title I, II, & III funding Review all staff evaluations Approve new hires Approve updated-LCAP and 2017-18 Budget Update Board priorities

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Urban Charter Schools Collective (UCSC)
Board Meeting Agenda
April 17, 2017
Regular Board Meeting Minutes

Board Members

Miles E. Myles President (Term Expires June 2019)
Dr. Lance Fang, Vice President (Term Expires June 2018)
Dr. Dennis Mah, Board Treasurer (Term Expires June 2017)
Chandra Roughton, Board Secretary (Term Expires June 2019)
See Lor, Board Member (Term Expires June 2017)
Vacant, Board Member (Term Expires June 2018)
Vacant, SCUSD Representative (No expiration)

6:05 p.m. Convene
6:15 p.m. Closed Session
7:20 p.m. Reconvene Open Session
9:04 p.m. Adjourn

Lisbon Elementary Staff Room
7555 S. Land Park Drive, Sacramento 95831

1. CALL TO ORDER

Myles called the meeting to order at 6:05pm.

2. BOARD ROLL CALL

*Members in Attendance: Fang, Roughton, Lor, Myles came in at 6:03pm, Mah came in at 6:07pm
Staff in Attendance: Lee Yang, Superintendent; Vince Xiong, Principal; Megan Lao, Chief Financial Officer; Kao Yee Vue, Administrative Secretary*

3. ADJUST AGENDA ITEMS AS NEEDED

N/A

4. PUBLIC COMMENT – Limit Two Minutes Per Person and Ten Minutes Per Issue Listed in the Agenda

N/A

5. REPORT OUT CLOSED SESSION

Myles announced that during the closed session the Board discussed and/or approved the following:

Lao reported the list of staff who intended to return for the 2017-2018 school year. The board made discussion on the table and have requested more details before proceeding. Administrative team will be submitting final draft to the board for approval in May 2017.

6. CONSENT AGENDA

- 6.1 Approval of Regular Board Meeting Minutes for March 13, 2017
- 6.2 Approval of 2017-18 Board Meeting Calendar
- 6.3 Approval of Resolution No. 2016-0101: Recognition of Yav Pem Suab Charter School Employees
- 6.4 Approval of Real Estate Agency, Newmark Cornish and Carey to Begin Work with Superintendent for Middle School Facility Search

The board reviewed the consent agenda items.

Mah motion to accept the consent agenda items as presented. Myles second the motion. All ayes by Myles, Fang, Mah, Roughton, and Lor. Motion carried.

7. ACTION ITEM – Approval of Educator Effectiveness Plan for Use of Funds

Lao presented to the board the development plan for the usage of the funds. The board made discussion on the table in regards to cost analysis.

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Myles motion to accept what is presented. Mah second the motion. All ayes by Myles, Fang, Mah, Roughton, and Lor. Motion carried.

8. ACTION ITEM – Approval of 2017-2018 Employee Appointments and Salaries

Item deferred to May 8, 2017 Regular Board Meeting.

9. CONFERENCE TO ACTION – Approval of Submission of Notification to Exit SCUSD SELPA for the 2018-2019 School Year to SCUSD SELPA

Lao presented to the board the letter of intent to exit SCUSD SELPA program along with supporting documentation. Discussion was made on the table by board members on finding a new SELPA program.

Myles motion to approve the notification letter to exit SCUSD SELPA program. Fang second the motion. All ayes by Myles, Fang, Mah, Roughton, and Lor. Motion carried.

10. DISCUSSION ITEM – Board Middle School Workshop/Strategic Plan and Other Initiatives (1 hour)

The board discussed the following topics in regards to the middle school project: Item 11 - Board visitation to a STEM school, and Item 12 - identifying an interim position to lead middle school project.

11. CONFERENCE TO ACTION – Approval of Board STEM School Visit and Budget

No action taken by board members. Yang will identify a second established STEM school for board members to visit.

12. CONFERENCE TO ACTION – Approval of Interim Position to Lead Middle School Efforts with Superintendent

Myles excused Mah and Roughton to step out and not take part in the discussion.

Yang shared with the board the potential of having someone else to help monitor and plan for the middle school but still report to the Superintendent of the progress. Yang shared the Planning and Project Management documents which is inclusive of the deadlines to submit documents for the middle school.

The Administrative team will be putting out a Request for Proposal (RFP) to identify a suitable candidate to fill a temporary Middle School Project Manager position. This person will work directly with, and report to the Superintendent. S/he will need to possess the knowledge and skills needed to support the Superintendent on the daily activities surrounding the development of the middle school so that progress toward operations is realized on a weekly basis. In addition, this middle school project manager will be taking the lead to support the Superintendent on the application of the \$600K new charter start up grant from the State.

The board appointed Mah to submit his proposal as a bidder but if accepted, Mah will need to resign immediately from his position as the Board Treasurer.

Myles motion to approve the RFP posting for the interim position of the Middle School Project Manager to help the Superintendent plan the middle school up to the ribbon cutting ceremony. Fang second the motion. All ayes by Myles, Fang, and Lor. Motion carried unanimously. Mah and Roughton were excused from voting and engaging in the discussion.

13. CONFERENCE TO ACTION – Appointment of Authorized Check Signer(s) in the Absence of a Board Treasurer

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Lao share that if the current board treasurer does get elected as the Middle School Project Manager, the board will need to appoint a new check signer(s).

The board discussed the order of check signer(s) in the absence of the board treasurer and who should be authorized to do so. The CFO is an alternative signer plus the person in charge of cutting the checks. The Superintendent authorized the checks to be written. The Board Treasurer verifies and signs the checks.

Myles motion to authorize the order for check signer(s) as follows: (1) Board Treasurer, (2) Board President, and (3) Board Vice President. Mah second the motion. All ayes by Myles, Fang, Mah, Roughton, and Lor. Motion carried.

14. INFORMATIONAL ITEM – Monthly Administrative Reports

14.1 Principal’s Report on Instruction & Learning

Items will be sent via-email to the board due to time constraints.

14.1.1 Enrollment, Attendance & Student Disciplinary Actions

14.1.2 Core Curriculum & Instruction/ Instructional and Delivery Plan

14.1.3 LCAP Update

14.1.4 Academy Council – Curriculum Policy #4, 2017-18 Instructional Calendar

14.2 Chief Financial Officer’s Summary of Finance & Operation

Items will be sent via-email to the board due to time constraints.

14.2.1 Financials through Previous Month

14.2.2 Draft 2 of the 2017-18 Budget & LCAP Plan

14.2.3 Upcoming Projects Reports, Contracts & MOU

15. INFORMATIONAL ITEM – Superintendent’s Report/Update

Items will be sent via-email to the board due to time constraints.

15.1 Monthly Summary Report

15.2 Website Update

16. BOARD MEMBERS IDENTIFY ITEMS FOR NEXT BOARD AGENDA

Due to the time limitation, staff will be emailing all supporting documents to board members.

The following items will be discussed in the next meeting:

- **Action Item** – Approval of 2017-2018 Employee Appointments and Salaries
- **Conference to Action** – Approval of Board STEM School Visit and Budget
- **Consent Agenda** – Approval of Curriculum Policy #4, 2017-18 Instructional Calendar

17. ADJOURN

Myles adjourned the meeting at 9:04 pm.

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YAV PEM SUAB ACADEMY

2017-2018 School Calendar

Instructional Days

7555 South Land Park Drive, Sacramento, CA 95831
Phone (916) 433-5057 Fax (916) 433-5289

Monday – Thursday (8:00 a.m. – 5:00 p.m.)

1st Trimester = 56 Days

2nd Trimester = 60 Days

3rd Trimester = 59 Days

Instructional Days = 175 Days

Dates to Remember

7/31	1 st Day of School
8/10	Back to School Night
9/4	Labor Day
10/30 - 11/3	PT Conference (2:00 p.m. Dismissal)
11/3	Friday Instructional Day
11/6	2 nd Trimester Begins
11/10	Veteran's Day
11/22 – 11/23	Thanksgiving Break
12/25 – 1/5	Winter Break
1/15	Martin Luther King Day
2/12	Lincoln's Birthday
2/19	President's Day
3/5 – 3/9	PT Conference (2:00 p.m. Dismissal)
3/9	Friday Instructional Day
3/12	3 rd Trimester Begins
3/26 – 3/30	Spring Break Week
5/28	Memorial Day
6/25 – 6/28	PT Conference (2:00 p.m. Dismissal)
6/28	Last Day of School

July 2017

S	M	T	W	T	F	S
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

August 2017

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26	27	28	29	30	31	

September 2017

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October 2017

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29	30	31				

November 2017

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December 2017

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31						

January 2018

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28	29	30	31			

February 2018

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24	25	26	27	28		

March 2018

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25	26	27	28	29	30	31

April 2018

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29	30					

May 2018

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27	28	29	30	31		

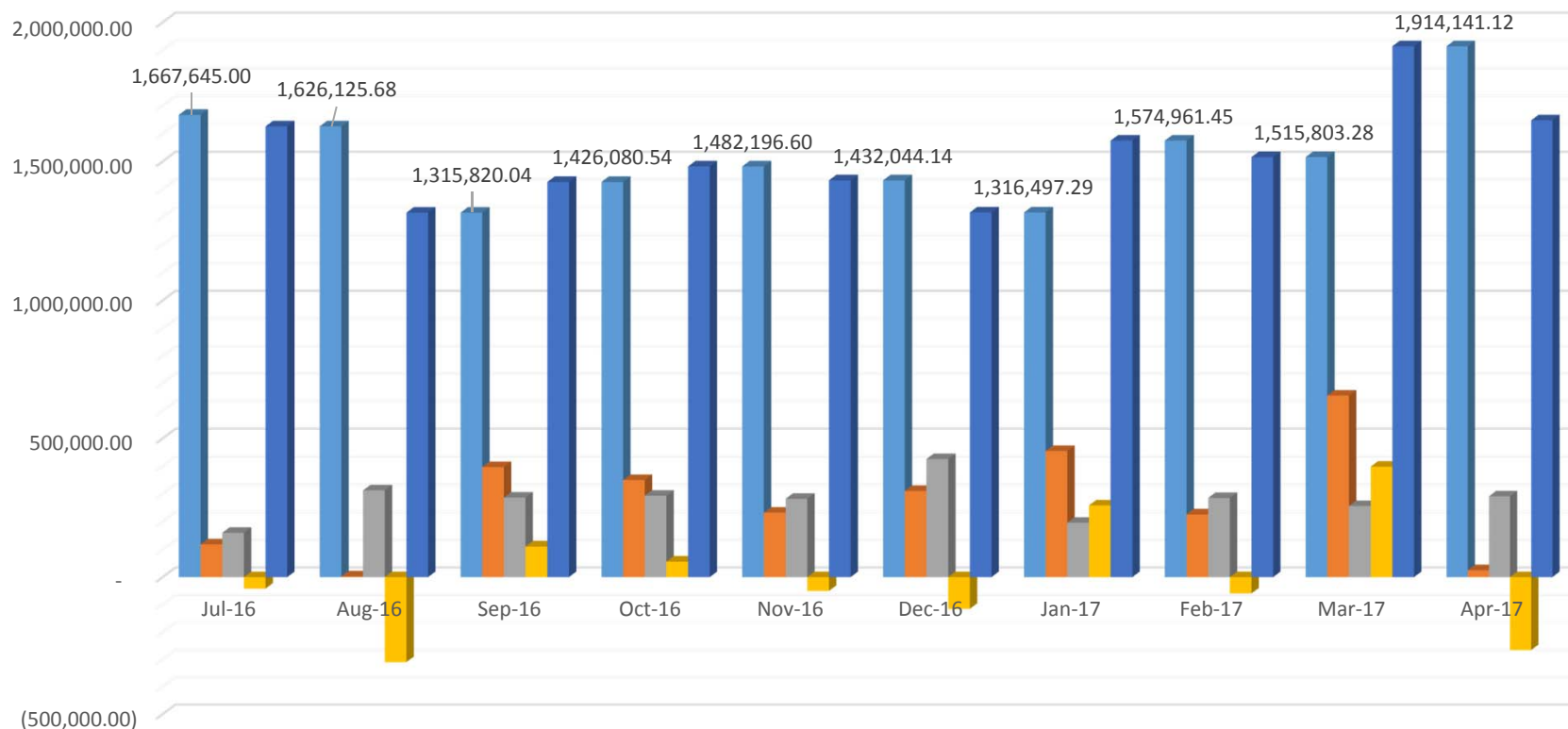
June 2018

S	M	T	W	T	F	S
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24	25	26	27	28	29	30

	Non-Instructional Days		Parent-Teacher Conference		Common Core Testing		Holidays
	Required staff workday		Start of the Trimester		End of Trimester		School Event

UCSC YTD Balance Sheet

Regular Board Meeting, May 8, 2017



	Jul-16	Aug-16	Sep-16	Oct-16	Nov-16	Dec-16	Jan-17	Feb-17	Mar-17	Apr-17
Beginning Balance	1,667,645.00	1,626,125.68	1,315,820.04	1,426,080.54	1,482,196.60	1,432,044.14	1,316,497.29	1,574,961.45	1,515,803.28	1,914,141.12
Total Revenue	118,147.48	2,600.00	396,850.50	349,874.98	232,304.15	310,317.02	454,517.42	226,304.00	654,804.00	24,870.08
Total Expenses	159,666.80	312,905.64	286,590.00	293,758.92	282,456.61	425,863.87	196,053.26	285,462.17	256,466.16	291,109.97
Net Change	(41,519.32)	(310,305.64)	110,260.50	56,116.06	(50,152.46)	(115,546.85)	258,464.16	(59,158.17)	398,337.84	(266,239.89)
Ending Balance	1,626,125.68	1,315,820.04	1,426,080.54	1,482,196.60	1,432,044.14	1,316,497.29	1,574,961.45	1,515,803.28	1,914,141.12	1,647,901.23

AXIS TITLE

Beginning Balance Total Revenue Total Expenses Net Change Ending Balance

Urban Charter Schools Collective Profit & Loss Budget vs. Actual

July 2016 through April 2017

	Jul '16 - Apr 17	Budget	\$ Over Budget	% of Budget
Ordinary Income/Expense				
Income				
8000 · Revenues & Other Financing				
8012 · EPA	429,947.00	519,066.00	-89,119.00	82.8%
8015 · General Purpose/State Aid	1,854,232.00	2,783,206.17	-928,974.17	66.6%
8016 · Prior Year Adj	-2,355.11	-15,795.00	13,439.89	14.9%
8096 · In-Lieu Property Taxes	225,839.48	664,233.77	-438,394.29	34.0%
Total 8000 · Revenues & Other Financing	2,507,663.37	3,950,710.94	-1,443,047.57	63.5%
8100 · Federal Revenue				
8290 · Other Federal Revenue				
8293 · Title 1, Part A	139,259.00	149,915.00	-10,656.00	92.9%
8294 · Title II-Improving Teacher Qual	418.00	1,676.00	-1,258.00	24.9%
8295 · Title III LEP	4,838.00	17,554.00	-12,716.00	27.6%
Total 8290 · Other Federal Revenue	144,515.00	169,145.00	-24,630.00	85.4%
Total 8100 · Federal Revenue	144,515.00	169,145.00	-24,630.00	85.4%
8300 · Other State Revenue				
8550 · Mandate Block Grant	80,871.00	93,870.00	-12,999.00	86.2%
8560 · Lottery				
8561 · Lottery Restricted (Inst Mat)	973.88	18,383.40	-17,409.52	5.3%
8562 · Lottery Unrestricted	42,633.62	58,826.88	-16,193.26	72.5%
Total 8560 · Lottery	43,607.50	77,210.28	-33,602.78	56.5%
8590 · All Other State Revenue				
8596 · Prop 39 Clean Energy Funds	0.00	0.00	0.00	0.0%
8597 · Educator Effectiveness (One Time Funds)	0.00	0.00	0.00	0.0%
8590 · All Other State Revenue - Other	0.00	102.25	-102.25	0.0%
Total 8590 · All Other State Revenue	0.00	102.25	-102.25	0.0%
8300 · Other State Revenue - Other	0.00	0.00	0.00	0.0%
Total 8300 · Other State Revenue	124,478.50	171,182.53	-46,704.03	72.7%
8600 · Other Local Revenue				
8610 · Direct Public Support (Contributions (including the)	6,482.80	6,565.00	-82.20	98.7%
8699 · Misc. Funds	570.85	0.00	570.85	100.0%
Total 8600 · Other Local Revenue	7,053.65	6,565.00	488.65	107.4%
8615 · Contributed Cap Lease	0.00	0.00	0.00	0.0%
8980 · Cont. from Unrestricted (Transfers from unrestricted)	0.00	0.00	0.00	0.0%
Total Income	2,783,710.52	4,297,603.47	-1,513,892.95	64.8%
Gross Profit	2,783,710.52	4,297,603.47	-1,513,892.95	64.8%
Expense				
1000 · Certificated Personnel Salaries				
1100 · Certificated Teachers' Salaries				
1101 · CORE Teacher Salaries	813,389.74	1,038,953.54	-225,563.80	78.3%
1102 · CORE Substitute Teachers	37,210.00	11,000.00	26,210.00	338.3%
1104 · Core Teacher Trainings	378.00	0.00	378.00	100.0%
1105 · Core Teachers-Enrichment	0.00	0.00	0.00	0.0%
1106 · Stipend Pay-C (Interest Club and Meetings)				
1106-1 · Home Visits	150.00	8,910.00	-8,760.00	1.7%
1106-2 · Leadership (Stipends paid to staff taking on leadership role...	403.20	11,760.00	-11,356.80	3.4%
1106-3 · Attendance Stipend (End of year unused sick leave stipend...	1,979.09	0.00	1,979.09	100.0%
1106 · Stipend Pay-C (Interest Club and Meetings) - Other	45,545.46	149,100.00	-103,554.54	30.5%
Total 1106 · Stipend Pay-C (Interest Club and Meetings)	48,077.75	169,770.00	-121,692.25	28.3%
1100 · Certificated Teachers' Salaries - Other	0.00	0.00	0.00	0.0%
Total 1100 · Certificated Teachers' Salaries	899,055.49	1,219,723.54	-320,668.05	73.7%
1200 · Cert. Pupil Support Salaries				
1212 · Counselor-Substitute	0.00	0.00	0.00	0.0%
Total 1200 · Cert. Pupil Support Salaries	0.00	0.00	0.00	0.0%
1300 · Cert. Sup & Admin Salaries				
1311 · Principal	89,177.50	107,013.00	-17,835.50	83.3%
1312 · Superintendent	125,000.00	150,000.00	-25,000.00	83.3%
1300 · Cert. Sup & Admin Salaries - Other	-224.89			

Urban Charter Schools Collective Profit & Loss Budget vs. Actual

July 2016 through April 2017

	Jul '16 - Apr 17	Budget	\$ Over Budget	% of Budget
Total 1300 · Cert. Sup & Admin Salaries	213,952.61	257,013.00	-43,060.39	83.2%
Total 1000 · Certificated Personnel Salaries	1,113,008.10	1,476,736.54	-363,728.44	75.4%
2000 · Classified Personnel Salaries				
2100 · Other Non-Certificated Salaries				
2110 · Enrichment Teachers				
2101 · Enrichment Teachers' Salaries	193,805.08	261,545.20	-67,740.12	74.1%
2102 · Enrichment Teacher Trainings	490.90	600.00	-109.10	81.8%
2103 · Substitute Teachers - Enrich	9,814.04	0.00	9,814.04	100.0%
2104 · Other Non-Certificated Sub	0.00	0.00	0.00	0.0%
2105 · Stipend Pay-NC (Coverage for other Interest club and additio...				
2105-2 · Leadership	0.00	2,640.00	-2,640.00	0.0%
2105-3 · Attendance Stipend	0.00	7,200.00	-7,200.00	0.0%
Total 2105 · Stipend Pay-NC (Coverage for other Interest club and a...	0.00	9,840.00	-9,840.00	0.0%
Total 2110 · Enrichment Teachers	204,110.02	271,985.20	-67,875.18	75.0%
2120 · Instructional Aide	86,287.48	116,713.00	-30,425.52	73.9%
Total 2100 · Other Non-Certificated Salaries	290,397.50	388,698.20	-98,300.70	74.7%
2200 · Classified Support Salaries				
2221 · Plant Manager	33,687.60	42,094.40	-8,406.80	80.0%
2222 · Night Custodian	25,020.48	31,573.12	-6,552.64	79.2%
2223 · Custodial Substitute	1,831.25	1,824.00	7.25	100.4%
2224 · Registered Nurse	31,193.75	45,200.00	-14,006.25	69.0%
2230 · Stipend (Attendance stipend and/or leadership stipend.)	0.00	0.00	0.00	0.0%
Total 2200 · Classified Support Salaries	91,733.08	120,691.52	-28,958.44	76.0%
2300 · Classified Sup.and Admin	78,000.00	93,600.00	-15,600.00	83.3%
2400 · Office Support				
2402 · Clerical Support & Substitutes				
2402-1 · Office Coverage	14,205.97	11,680.00	2,525.97	121.6%
2402-2 · Back Office Coverage	625.00	3,768.00	-3,143.00	16.6%
2402-3 · Assessment Administration (CELDT Testing)	3,211.13	3,211.00	0.13	100.0%
Total 2402 · Clerical Support & Substitutes	18,042.10	18,659.00	-616.90	96.7%
2403 · Office Clerk	39,551.70	0.00	39,551.70	100.0%
2404 · Administrative Assistant	26,590.27	34,805.12	-8,214.85	76.4%
2405 · Stipend (Attendance/Leadership Stipend)				
2405-1 · Attendance Stipend	0.00	3,600.00	-3,600.00	0.0%
2405 · Stipend (Attendance/Leadership Stipend) - Other	0.00	0.00	0.00	0.0%
Total 2405 · Stipend (Attendance/Leadership Stipend)	0.00	3,600.00	-3,600.00	0.0%
2400 · Office Support - Other	0.00	63,269.92	-63,269.92	0.0%
Total 2400 · Office Support	84,184.07	120,334.04	-36,149.97	70.0%
2800 · Technology Department Salaries				
2801 · ATT	56,665.01	89,000.00	-32,334.99	63.7%
2802 · ATT/Classroom Tutoring	0.00	960.00	-960.00	0.0%
2803 · ATT PD/Mtg. Stipend	5,420.47	5,670.00	-249.53	95.6%
2804 · ATT Attendance Stipends	0.00	0.00	0.00	0.0%
2805 · ATT Sub	7,295.54	4,320.00	2,975.54	168.9%
2800 · Technology Department Salaries - Other	11,447.21	14,842.00	-3,394.79	77.1%
Total 2800 · Technology Department Salaries	80,828.23	114,792.00	-33,963.77	70.4%
2900 · Campus Safety				
2901 · Yard Duty Salary	24,202.74	34,129.00	-9,926.26	70.9%
2902 · Yard Duty Trainings	189.00	560.00	-371.00	33.8%
2903 · Yard Duty Sub	2,317.42	2,920.00	-602.58	79.4%
2904 · Attendance Stipend	0.00	1,152.00	-1,152.00	0.0%
Total 2900 · Campus Safety	26,709.16	38,761.00	-12,051.84	68.9%
2000 · Classified Personnel Salaries - Other	0.00	0.00	0.00	0.0%
Total 2000 · Classified Personnel Salaries	651,852.04	876,876.76	-225,024.72	74.3%
3000 · Employee Benefits				
3101 · STRS (Certificated)	139,070.91	185,773.45	-46,702.54	74.9%
3301 · Medicare (Certificated)	15,276.97	21,412.68	-6,135.71	71.3%
3302 · OASDI (Non Certificated)	40,814.78	54,812.77	-13,997.99	74.5%
3303 · FUTA	0.00	0.00	0.00	0.0%

Urban Charter Schools Collective Profit & Loss Budget vs. Actual

July 2016 through April 2017

	Jul '16 - Apr 17	Budget	\$ Over Budget	% of Budget
3304 · Medicare (Non Certificated)	9,302.10	12,819.11	-3,517.01	72.6%
3305 · OASDI (Certificated)	0.00	0.00	0.00	0.0%
3400 · Health & Welfare Benefits				
3401 · Health & Welfare Benefits-Cert	106,546.31	0.00	106,546.31	100.0%
3402 · Health & Welfare Benefits (NC)	82,807.04	0.00	82,807.04	100.0%
3400 · Health & Welfare Benefits - Other	0.00	235,540.84	-235,540.84	0.0%
Total 3400 · Health & Welfare Benefits	189,353.35	235,540.84	-46,187.49	80.4%
3500 · Unemployment Insurance				
3504 · SEF UI Fund	1,035.63	5,680.41	-4,644.78	18.2%
Total 3500 · Unemployment Insurance	1,035.63	5,680.41	-4,644.78	18.2%
3600 · Worker's Comp Insurance	26,761.00	33,374.71	-6,613.71	80.2%
3000 · Employee Benefits - Other	0.00	0.00	0.00	0.0%
Total 3000 · Employee Benefits	421,614.74	549,413.97	-127,799.23	76.7%
4000 · Books & Supplies				
4100 · Textbooks & Core Materials	17,036.68	79,200.00	-62,163.32	21.5%
4200 · Books & Other Ref Materials				
4210 · Hmong Language Development				
4210-2 · HLD Int.	0.00	0.00	0.00	0.0%
4210 · Hmong Language Development - Other	0.00	0.00	0.00	0.0%
Total 4210 · Hmong Language Development	0.00	0.00	0.00	0.0%
4211 · Staff Professional Development	0.00	0.00	0.00	0.0%
4213 · CORE reference materials				
4213-0 · Kinder Core Materials	0.00	0.00	0.00	0.0%
4213-1 · 1st Gr. Core Materials	14.00			
4213-2 · 2nd Gr. Core Materials	0.00	0.00	0.00	0.0%
4213-4 · 4th Gr. Core Materials	0.00	0.00	0.00	0.0%
4213-5 · 5th Gr. Core Materials	0.00	0.00	0.00	0.0%
4213 · CORE reference materials - Other	0.00	0.00	0.00	0.0%
Total 4213 · CORE reference materials	14.00	0.00	14.00	100.0%
4200 · Books & Other Ref Materials - Other	3,884.54	7,225.84	-3,341.30	53.8%
Total 4200 · Books & Other Ref Materials	3,898.54	7,225.84	-3,327.30	54.0%
4300 · Materials & Supplies				
4305 · PD Room (Materials and equipment needed for HET PD Room)	0.00	0.00	0.00	0.0%
4310 · Classroom Supplies	21,366.53	0.00	21,366.53	100.0%
4320 · Enrichment Supplies				
4321 · Hmong Enrichment Materials	2,661.56	5,000.00	-2,338.44	53.2%
4323 · Taekwondo Enrichment Materials	2,269.35	1,666.67	602.68	136.2%
4324 · Sports Enrichment Materials	1,788.74	1,666.67	122.07	107.3%
4325 · Dance Enrichment Materials	0.00	1,666.67	-1,666.67	0.0%
Total 4320 · Enrichment Supplies	6,719.65	10,000.01	-3,280.36	67.2%
4330 · Office Supplies				
4330-1 · Awards Assembly	1,907.27	3,000.00	-1,092.73	63.6%
4330-2 · School Functions	500.00	2,000.00	-1,500.00	25.0%
4330-3 · Staff Recognition	949.60	2,500.00	-1,550.40	38.0%
4330 · Office Supplies - Other	2,012.31	4,550.00	-2,537.69	44.2%
Total 4330 · Office Supplies	5,369.18	12,050.00	-6,680.82	44.6%
4340 · Back Office Supplies	4,161.26	4,550.00	-388.74	91.5%
4350 · Schoolwide Supplies-Consumable	24,928.12	40,000.00	-15,071.88	62.3%
4351 · Schoolwide Supply Closet	0.00	0.00	0.00	0.0%
4352 · Schoolwide-Safety (Schoolwide noninstructional supplies and m...	202.42	0.00	202.42	100.0%
4360 · Health Supplies	927.22	2,100.00	-1,172.78	44.2%
4370 · Custodial Supplies	6,896.30	11,520.00	-4,623.70	59.9%
4390 · Food for staff (food for staff meetings/conf)				
4390-1 · Staff PD/Trainings	435.52	800.00	-364.48	54.4%
4390-2 · Academy Council	327.38	880.00	-552.62	37.2%
4390-3 · UCSC Board	297.60	860.00	-562.40	34.6%
4390 · Food for staff (food for staff meetings/conf) - Other	33.58	0.00	33.58	100.0%
Total 4390 · Food for staff (food for staff meetings/conf)	1,094.08	2,540.00	-1,445.92	43.1%
4300 · Materials & Supplies - Other	36.67	0.00	36.67	100.0%

Urban Charter Schools Collective Profit & Loss Budget vs. Actual

July 2016 through April 2017

	Jul '16 - Apr 17	Budget	\$ Over Budget	% of Budget
Total 4300 · Materials & Supplies	71,701.43	82,760.01	-11,058.58	86.6%
4400 · Non-Capitalized Equipment				
4410 · Schoolwide Start-Up (technology)	1,676.21	32,479.62	-30,803.41	5.2%
4420 · Schoolwide Start-up (furniture)	5,521.27	0.00	5,521.27	100.0%
4400 · Non-Capitalized Equipment - Other	14,481.44	42,000.00	-27,518.56	34.5%
Total 4400 · Non-Capitalized Equipment	21,678.92	74,479.62	-52,800.70	29.1%
4700 · Food	1,053.93	1,860.00	-806.07	56.7%
4000 · Books & Supplies - Other	0.00	0.00	0.00	0.0%
Total 4000 · Books & Supplies	115,369.50	245,525.47	-130,155.97	47.0%
5000 · Services & Other Op Expenditure				
5200 · Travel & Conferences				
5202 · Travel Expenses				
5202-1 · Staff Professional Development	575.32	5,000.00	-4,424.68	11.5%
5202-2 · Day to Day Travels	466.99	2,000.00	-1,533.01	23.3%
5202-3 · Study Trip/Pre Visits	112.56	216.00	-103.44	52.1%
5202 · Travel Expenses - Other	0.00	0.00	0.00	0.0%
Total 5202 · Travel Expenses	1,154.87	7,216.00	-6,061.13	16.0%
5203 · Conference Fees/Registrations	8,785.00	8,790.00	-5.00	99.9%
5200 · Travel & Conferences - Other	0.00	0.00	0.00	0.0%
Total 5200 · Travel & Conferences	9,939.87	16,006.00	-6,066.13	62.1%
5300 · Dues & Memberships	9,099.76	8,839.76	260.00	102.9%
5400 · Insurance	19,455.44	19,455.44	0.00	100.0%
5500 · Operations & Housekeeping Serv				
5501 · Water	16,472.59	26,692.30	-10,219.71	61.7%
5502 · Waste Removal	1,477.27	1,892.54	-415.27	78.1%
5503 · Natural Gas	-20.90	2,628.65	-2,649.55	-0.8%
5504 · Electricity	36,240.97	48,472.98	-12,232.01	74.8%
Total 5500 · Operations & Housekeeping Serv	54,169.93	79,686.47	-25,516.54	68.0%
5600 · Rental, Leases, Repairs, Improv				
5610 · Office Equip-Service Agreement	0.00	450.00	-450.00	0.0%
5615 · Software License Copyright	13,706.03	6,000.00	7,706.03	228.4%
5620 · Copier Rental	5,083.08	6,900.00	-1,816.92	73.7%
5630 · Improvements or Repairs	20,476.02	30,449.90	-9,973.88	67.2%
5640 · Pro Rata Share for Facilities	76,592.30	79,655.94	-3,063.64	96.2%
5600 · Rental, Leases, Repairs, Improv - Other	450.00	0.00	450.00	100.0%
Total 5600 · Rental, Leases, Repairs, Improv	116,307.43	123,455.84	-7,148.41	94.2%
5800 · Prof Consult Services & Op Exp				
5801 · Printing & Duplicating	500.29	2,538.05	-2,037.76	19.7%
5802 · Payroll Services	15,369.86	16,800.00	-1,430.14	91.5%
5803 · Fingerprinting	0.00	0.00	0.00	0.0%
5805 · Audit	15,547.98	23,600.00	-8,052.02	65.9%
5806 · Health Benefits Admin Fees	15.00	40.00	-25.00	37.5%
5807 · Insurance Admin Fees	40.00	0.00	40.00	100.0%
5808 · Wire Transfer Fees	0.00	100.00	-100.00	0.0%
5809 · Service Charge (Banks)	20.00	1,800.00	-1,780.00	1.1%
5810 · Attorney fees	2,923.50	6,000.00	-3,076.50	48.7%
5811 · CPA fees	3,950.00	7,800.00	-3,850.00	50.6%
5812 · Nurse Consultation Fees (Nurse consultation fees.)	9,166.63	10,000.00	-833.37	91.7%
5813 · Late Penalty	0.00	50.00	-50.00	0.0%
5820 · Transportation for Field Trips				
5820.1 · Field Trip Admission	29,862.69	0.00	29,862.69	100.0%
5820.2 · Field Trip Transportation	32,023.65	0.00	32,023.65	100.0%
5820 · Transportation for Field Trips - Other	430.00	66,476.20	-66,046.20	0.6%
Total 5820 · Transportation for Field Trips	62,316.34	66,476.20	-4,159.86	93.7%
5840 · BTSA Support Providers	7,200.00	7,200.00	0.00	100.0%
5898 · Contracted Services Fees (Use of SCUSD Subfinder, fees for s...	55,622.02	127,186.02	-71,564.00	43.7%
5899 · 1099 Contracts	32,454.00	113,094.99	-80,640.99	28.7%
5800 · Prof Consult Services & Op Exp - Other	0.00	0.00	0.00	0.0%
Total 5800 · Prof Consult Services & Op Exp	205,125.62	382,685.26	-177,559.64	53.6%
5900 · Communications				
5901 · Telephones				
5901.1 · E-Rate Discount	-4,439.84	-33,000.00	28,560.16	13.5%

Urban Charter Schools Collective Profit & Loss Budget vs. Actual

July 2016 through April 2017

	Jul '16 - Apr 17	Budget	\$ Over Budget	% of Budget
5901 · Telephones - Other	16,896.87	45,000.00	-28,103.13	37.5%
Total 5901 · Telephones	12,457.03	12,000.00	457.03	103.8%
5902 · Postage	727.05	1,000.00	-272.95	72.7%
5900 · Communications - Other	18,978.38	1,066.80	17,911.58	1,779.0%
Total 5900 · Communications	32,162.46	14,066.80	18,095.66	228.6%
5000 · Services & Other Op Expenditure - Other	0.00	0.00	0.00	0.0%
Total 5000 · Services & Other Op Expenditure	446,260.51	644,195.57	-197,935.06	69.3%
6000 · Capital Outlay				
6900 · Depreciation Expense	0.00	0.00	0.00	0.0%
Total 6000 · Capital Outlay	0.00	0.00	0.00	0.0%
7000 · Other Outgo				
7010 · District Oversight Fee	8,808.00	39,507.11	-30,699.11	22.3%
7020 · Special Ed Encroachment	72,981.00	338,400.00	-265,419.00	21.6%
7000 · Other Outgo - Other	0.00	0.00	0.00	0.0%
Total 7000 · Other Outgo	81,789.00	377,907.11	-296,118.11	21.6%
7438 · Debt-Interest	0.00	0.00	0.00	0.0%
Total Expense	2,829,893.89	4,170,655.42	-1,340,761.53	67.9%
Net Ordinary Income	-46,183.37	126,948.05	-173,131.42	-36.4%
Net Income	-46,183.37	126,948.05	-173,131.42	-36.4%

Urban Charter Schools Collective

Balance Sheet

As of April 30, 2017

	Apr 30, 17
ASSETS	
Current Assets	
Checking/Savings	
9100 · Cash	
9120 · In Banks	
9121 · Union Bank - General Account	
9122 · Union Bank	1,628,010.23
9121 · Union Bank - General Account - Other	15,880.01
Total 9121 · Union Bank - General Account	1,643,890.24
9125 · UBOC-Student Activities (Student Activities Fund)	
9125a · Yearbook	-489.00
9125b · Student Government	1,277.75
9125c · T-Shirt Fundraiser	-22.23
9125d · Taekwondo Uniforms	608.47
9125 · UBOC-Student Activities (Student Activities Fund) ...	8,037.23
Total 9125 · UBOC-Student Activities (Student Activities Fund)	9,412.22
9120 · In Banks - Other	-41,514.14
Total 9120 · In Banks	1,611,788.32
Total 9100 · Cash	1,611,788.32
Total Checking/Savings	1,611,788.32
Other Current Assets	
9260 · Due From Federal Government	
9260.30 · 8295 - Title III LEP	-1,397.00
Total 9260 · Due From Federal Government	-1,397.00
9335 · E-Rate Discount	-13,783.68
9340 · Other Current Assets	
9343 · Receivables - Other	115.02
Total 9340 · Other Current Assets	115.02
Total Other Current Assets	-15,065.66
Total Current Assets	1,596,722.66
Fixed Assets	
9410 · Land Improvements	13,538.93
9440 · Equipment (Equipment over \$3,000)	76,577.56
9499 · Accumulated Depreciation	-50,383.14
Total Fixed Assets	39,733.35
TOTAL ASSETS	1,636,456.01
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Accounts Payable	
9500 · Accounts Payable	-5,738.42
Total Accounts Payable	-5,738.42
Credit Cards	
9360 · Union Bank Visa	140.08
9361 · Union Bank X124	654.06

05/04/17

Urban Charter Schools Collective
Balance Sheet
 As of April 30, 2017

	Apr 30, 17
Total Credit Cards	794.14
Other Current Liabilities	
9501 · Capital Lease	21,889.26
9510 · Payroll Liabilities	
9511 · STRS Employer Contribution	13,893.35
9512 · STRS Employee Contributions	-31,266.51
9513 · EE State Disability Contrib. (Acct# 776-0576-4)	889.93
9514 · EE Payroll Taxes	-224.72
9515 · EE Withholdings/Garnishments	20.35
9510 · Payroll Liabilities - Other	-5.22
Total 9510 · Payroll Liabilities	-16,692.82
9525 · Funds Held for Other (Student Activities Fund)	5,909.79
9650 · Deferred Revenue	
9651 · NCLB-Title I, Part A	4,611.42
9654 · Title III LEP	4,232.30
Total 9650 · Deferred Revenue	8,843.72
Total Other Current Liabilities	19,949.95
Total Current Liabilities	15,005.67
Total Liabilities	15,005.67
Equity	
9700 · Fund Balance/Net Assets	1,667,633.71
Net Income	-46,183.37
Total Equity	1,621,450.34
TOTAL LIABILITIES & EQUITY	1,636,456.01

**2016/2017
Form 700
Statement of
Economic Interests**



**Reference
Pamphlet**

California Fair Political Practices Commission

Email Advice: advice@fppc.ca.gov

Toll-free advice line: 1 (866) ASK-FPPC • (866) 275-3772

Telephone: (916) 322-5660 • Website: www.fppc.ca.gov

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What's New

Gifts of Travel

Effective January 1, 2016, if an individual receives a travel payment that is reportable as a gift, he or she must disclose the travel destination. (See the Form 700 Schedule E instructions for information about other details that must be disclosed.) This applies to travel taken on or after January 1, 2016.

Who Must File

1. Officials and Candidates Specified in Gov. Code Section 87200 and Members of Boards and Commissions of Newly Created Agencies

The Act requires the following individuals to fully disclose their personal assets and income described in Form 700, Statement of Economic Interests:

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
- Elected members of and candidates for the Board of Administration of the California Public Employees' Retirement System
- Elected members of and candidates for the Teachers' Retirement Board
- Members of the High Speed Rail Authority

Other officials and employees of state boards, commissions, agencies, and departments file Form 700 as described in Part 2 on this page.

Judicial Offices

- Supreme, Appellate, and Superior 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

Members of Boards and Commissions of Newly Created Agencies

Members must fully disclose their investments, interests in real property, business positions, and income (including loans, gifts, and travel payments) until the positions are covered under a conflict of interest code.

2. State and Local Officials, Employees, Candidates, and Consultants Designated in a Conflict of Interest Code ("Code Filers")

The Act requires every state and local government agency to adopt a unique conflict of interest code. The code lists each position within the agency filled by individuals who make or participate in making governmental decisions that could affect their personal economic interests.

The code requires individuals holding those positions to periodically file Form 700 disclosing certain personal economic interests as determined by the code's "disclosure categories." These individuals are called "designated employees" or "code filers."

Obtain your disclosure categories from your agency – they are not contained in the Form 700. Persons with broad decisionmaking authority must disclose more interests than those in positions with limited discretion. For example, you may be required to disclose only investments and business positions in or income (including loans, gifts, and travel payments) from businesses of the type that contract with your agency, or you may not be required to disclose real property interests.

In addition, certain consultants to public agencies may qualify as public officials because they make, participate in making, or act in a staff capacity for governmental decisions. Agencies determine who is a consultant and the level of disclosure and may use Form 805.

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 that has the same or a smaller jurisdiction (for example, a state legislator who also sits on a state or local board or commission).

Employees in Newly Created Positions of Existing Agencies

An individual hired for a position not yet covered under an agency's conflict of interest code must file Form 700 if the individual serves in a position that makes or participates in making governmental decisions. These individuals must file under the agency's broadest disclosure category until the code is amended to include the new position unless the agency has provided in writing a limited disclosure requirement. The Form 804 may be used to satisfy this requirement.

Types of Form 700 Filings

Assuming Office Statement:

If you are a newly appointed official or are newly employed in a position designated, or that will be designated, in a state or local agency's conflict of interest code, your assuming office date is the date you were sworn in or otherwise authorized to serve in the position. If you are a newly elected official, your assuming office date is the date you were sworn in.

- Investments, interests in real property, and business positions held on the date you assumed the office or position must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date you assumed the office or position is reportable.

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

Example:

Maria Lopez was nominated by the Governor to serve on a state agency board that is subject to state Senate confirmation. The assuming office date is the date Maria's nomination is submitted to the Senate. Maria must report investments, interests in real property, and business positions she holds on that date, and income (including loans, gifts, and travel payments) received during the 12 months prior to that date.

If your office or position has been added to a newly adopted or newly amended conflict of interest code, use the effective date of the code or amendment, whichever is applicable.

- Investments, interests in real property, and business positions held on the effective date of the code or amendment must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the effective date of the code or amendment is reportable.

Annual Statement:

Generally, the period covered is January 1, 2016, through December 31, 2016. If the period covered by the statement is different than January 1, 2016, through December 31, 2016, (for example, you assumed office between October 1, 2015, and December 31, 2015, or you are combining statements), you must specify the period covered.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2016.

- If your disclosure category changes during a reporting period, disclose under the old category until the effective date of the conflict of interest code amendment and disclose under the new disclosure category through the end of the reporting period.

Leaving Office Statement:

Generally, the period covered is January 1, 2016, through the date you stopped performing the duties of your position. If the period covered differs from January 1, 2016, through the date you stopped performing the duties of your position (for example, you assumed office between October 1, 2015, and December 31, 2015, or you are combining statements), the period covered must be specified. The reporting period can cover parts of two calendar years.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2016.

Candidate Statement:

If you are filing a statement in connection with your candidacy for state or local office, investments, interests in real property, and business positions held on the date of filing your declaration of candidacy must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date of filing your declaration of candidacy is reportable. Do not change the preprinted dates on Schedules A-1, A-2, and B.

Candidates running for local elective offices (e.g., county sheriffs, city clerks, school board trustees, or water district board members) must file candidate statements, as required by the conflict of interest code for the elected position. The code may be obtained from the agency of the elected position.

Amendments:

If you discover errors or omissions on any statement, file an amendment as soon as possible. You are only required to amend the schedule that needs to be revised; it is not necessary to refile the entire form. Obtain amendment schedules from the FPPC website at www.fppc.ca.gov.

Where to File

1. Officials Specified in Gov. Code Section 87200 (See Reference Pamphlet, page 3):

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

Filers	Where to File
87200 Filers	
State offices	Your agency
Judicial offices	The clerk of your court
Retired Judges	Directly with FPPC
County offices	Your county filing official
City offices	Your city clerk
Multi-County offices	Your agency
87200 Candidates	
State offices	County elections official with whom you file your declaration of candidacy
Judicial offices	
Multi-County offices	
County offices	County elections official
City offices	City Clerk
Public Employees' Retirement System (CalPERS)	CalPERS
State Teachers' Retirement Board (CalSTRS)	CalSTRS

Note: Individuals that invest public funds for a city or county agency must file Form 700 with the agency. Unlike most other 87200 filers, the original statement will **not** be forwarded to the FPPC pursuant to Regulation 18753.

2. Code Filers — State and Local Officials, Employees, Candidates, and Consultants 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.

Candidates for local elective offices designated in a conflict of interest code file with the elections office where the declaration of candidacy or other nomination documents are filed.

3. Members of Boards and Commissions of Newly Created Agencies:

File with your newly created agency or with your agency's code reviewing body as provided by your code reviewing body.

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

Exceptions:

- Elected state officers are not required to file statements under any agency's conflict of interest code.
- Filers listed in Section 87200 are not required to file statements under any agency's conflict of interest code in the same jurisdiction. For example, a county supervisor who is appointed to serve in an agency with jurisdiction in the same county has no additional filing obligations.

4. Positions Not Yet Covered Under a Conflict of interest Code

An individual hired for a position not yet covered under an agency's conflict of interest code must file Form 700 if the individual serves in a position that makes or participates in making governmental decisions. These individuals must file under the broadest disclosure category until the code is amended to include the new position unless the agency has provided in writing a limited disclosure requirement. Agencies may use FPPC Form 804 for this disclosure. Such individuals are referred to as "code filers." See Regulation 18734.

When to File

Assuming Office Statements:

Filer	Deadline
Elected officials	30 days after assuming office
Appointed positions specified in Gov. Code Section 87200 or Newly created board and commission members not covered by a conflict of interest code	30 days after assuming office or 10 days after appointment or nomination if subject to Senate or judicial confirmation
Other appointed positions (including those held by newly-hired employees) that are or will be 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 code 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 (for example, you are reelected or reappointed), you are not required to file an assuming office statement. Instead, you will simply file the next annual statement due.
- If you leave an office specified in Gov. Code Section 87200 and, within 45 days, you assume another office or position specified in Section 87200 that has the same jurisdiction (for example, a city planning commissioner elected as mayor), you are not required to file an assuming office statement. Instead, you will simply 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.

Late statements are subject to a late fine of \$10 per day per position up to \$100 for each day the statement is late.

Annual Statements:

1. Elected state officers (including members of the state legislature, members elected to the Board of Administration of the California Public Employees' Retirement System and members elected to the Teachers' Retirement Board);
Judges and court commissioners; and
Members of state boards and commissions specified in Gov. Code Section 87200:
File no later than **Wednesday, March 1, 2017**.
2. County and city officials specified in Gov. Code Section 87200:
File no later than **Monday, April 3, 2017**.
3. Multi-County officials:
File no later than **Monday, April 3, 2017**.
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, 2016, and December 31, 2016, and filed an assuming office statement, you are not required to file an annual statement until March 1, 2018, or April 2, 2018, whichever is applicable. The annual statement will cover the day after you assumed office through December 31, 2017.

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

When to File - (continued)

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 (for example, you are reelected or reappointed), you are not required to file a leaving office statement. Instead, you will simply file the next annual statement due.
- If you leave an office specified in Gov. Code Section 87200 and, within 45 days, you assume another office or position specified in Section 87200 that has the same jurisdiction (for example, a city planning commissioner elected as mayor), you are not required to file a leaving office statement. Instead, you will simply 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:

All candidates (including incumbents) for offices specified in Gov. Code Section 87200 must file statements no later than the final filing date for their declaration of candidacy.

Candidates seeking a position designated in a conflict of interest code must file no later than the final filing date for the declaration of candidacy or other nomination documents.

Exception:

A candidate statement is not required if you filed any statement (other than a leaving office statement) for the same jurisdiction **within 60 days** before filing a declaration of candidacy or other nomination documents.

Terms & Definitions

The instructions located on the back of each schedule describe the types of interests that must be reported. The purpose of this section is to explain other terms used in Form 700 that are not defined in the instructions to the schedules or elsewhere.

Blind Trust: See Trusts, Reference Pamphlet, page 16.

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 (for example, 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.

An individual hired on or after January 1, 2010 for a position not yet covered under an agency's conflict of interest code must file Form 700 if the individual serves in a position that makes or participates in making governmental decisions. These individuals must file under the broadest disclosure category until the code is amended to include the new position unless the agency has provided in writing a limited disclosure requirement. Agencies may use FPPC Form 804 for such disclosure. See Regulation 18734.

Commission Income: "Commission income" means gross payments of \$500 or more received during the period covered by the statement 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.

In addition, 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 or registered domestic partner received commission income, you would disclose your community property share (50%) of that income (that is, the names of sources of \$20,000 or more in gross commission income received by your spouse or registered domestic partner).

Report commission income as follows:

- If the income was received through a business entity in which you and your spouse or registered domestic partner had a 10% or greater ownership interest (or if you receive commission income on a regular basis as an independent contractor or agent), use Schedule A-2.
- If the income was received through a business entity in which you or your spouse or registered domestic partner **did not receive commission income on a regular basis** or you had a less than 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.

Examples:

- 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.
- You are a stockbroker for Prince Investments, but you have no ownership interest in the firm. You receive commission income on a regular basis through the sale of stock to clients. Your total gross income from your employment with Prince Investments was over \$100,000 during the reporting period. On Schedule A-2, report your name as the name of the business entity in Part 1 and the gross income you have received in Part 2. (Because you are an employee of Prince Investments, you do not need to complete the information in the box in Part 1 indicating the general description of business activity, fair market value, or nature of investment.) In Part 3, list Prince Investments and the names of any clients who were sources of \$10,000 or more in commission income to you.
- You are a real estate agent and an independent contractor under Super Realty. On Schedule A-2, Part 1, in addition to your name or business name, complete the business entity description box. In Part 2, identify your gross income. In Part 3, for each transaction that resulted in commission income to you of \$10,000 or more, you must identify the brokerage entity, each person you represented, and any person who received a finder's or other referral fee for referring a party to the transaction to the broker.

Note: If your pro rata share of commission income from a single source is \$500 or more, you may be required to disqualify yourself from decisions affecting that source of income, even though you are not required to report the income. *For information regarding disclosure of "incentive compensation," see Reference Pamphlet, page 12.*

Terms & Definitions - (continued)

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, resolution, or other document.

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 that 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 that 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, participates in making, or acts in a staff capacity for making governmental decisions. The agency determines who is a consultant. Consultants may be required to file Form 700. Such consultants would file under full disclosure unless the agency provides in writing a limited disclosure requirement. Agencies may use FPPC Form 805 to assign such disclosure. 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 that employs the individual.

FPPC Regulation 18700.3 defines "consultant" as an individual who makes a governmental decision whether to:

- Approve a rate, rule, or regulation
- Adopt or enforce a law
- Issue, deny, suspend, or revoke any permit, license, application, certificate, approval, order, or similar authorization or entitlement
- Authorize the agency to enter into, modify, or renew a contract provided it is the type of contract that requires agency approval
- Grant agency approval to a contract that requires agency approval and to which the agency is a party, or to the specifications for such a contract
- Grant agency approval to a plan, design, report, study, or similar item
- Adopt, or grant agency approval of, policies, standards, or guidelines for the agency or for any of its subdivisions

A consultant also is an individual who serves in a staff capacity with the agency and:

- participates in making a governmental decision; or
- performs the same or substantially all the same duties for the agency that would otherwise be performed by an individual holding a position specified in the agency's conflict of interest code.

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 or whose position has not yet been listed in the code but makes or participates in making governmental decisions. Individuals who contract with government agencies (consultants) may also be designated in a conflict of interest code.

A federal officer or employee serving in an official federal capacity on a state or local government agency is not a designated employee.

Disclosure Categories: 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 obtain a copy of your disclosure categories.

Terms & Definitions - (continued)

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 under the Investment Company Act of 1940 are exempt from disclosure.* In addition, Regulation 18237 provides an exception from reporting other funds that are similar to diversified mutual funds. See Reference Pamphlet, page 13.

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, members of the State Legislature, members of the State Board of Equalization, elected members of the Board of Administration of the California Public Employees' Retirement System and members elected to the Teachers' Retirement Board.

Enforcement: The FPPC investigates suspected violations of the Act. Other law enforcement agencies (the Attorney General or district attorney) also may initiate investigations under certain circumstances. If violations are found, the Commission may initiate administrative enforcement proceedings that could result in fines of up to \$5,000 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 also may be subject to agency discipline, 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 that 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 (for example, a city council member 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 – the price at which 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 or email 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 these 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 totaling more than \$460 in a calendar year from a single source during 2015-2016. Effective January 1, 2017, the gift limit increased to \$470.

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 these 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.

Terms & Definitions - (continued)

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 entitled "Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans," which can be obtained from your filing officer or the FPPC website (www.fppc.ca.gov).
- The \$460 gift limit (\$470 during 2017 - 2018) and the 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 \$460 gift limit (\$470 during 2017 - 2018) and honorarium prohibition are applicable only to sources you would otherwise 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 Reference Pamphlet, page 3.)
- 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.
- Payments for articles published as part of the practice of a bona fide business, trade, or profession, such as teaching, are not considered honoraria. A payment for an "article published" that is customarily provided in connection with teaching includes text book royalties and payments for academic tenure review letters. An official is presumed to be engaged in the bona fide profession of teaching if he or she is employed to teach at an accredited university.

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. Court commissioners are subject to the gift limit under the Political Reform Act.

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, as well as income reinvested in a business entity) to be reported.

Pro Rata Share: The instructions for reporting 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 to the 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 reporting your community property interest in your spouse's or registered domestic partner's income, your pro rata share is 50% of his or her income.

Separate Property Agreement: Generally, a public official is required to disclose his or her community property share of his or her spouse's income. But, when a public official and his or her spouse have a legally separate property agreement (e.g., prenuptial agreement), the official is not required to report the spouse's community property share of income, unless the funds are commingled with community funds or used to pay for community expenses or to produce or enhance the separate income of the official.

Note: This reporting exception does not apply to investments and interests in real property. Even if a public official and his or her spouse have a separate property agreement, the spouse's investments and interests in real property must still be disclosed because the definitions of reportable investments and interests in real property include those held by the official's immediate family (spouse, registered domestic partner, and dependent children). These definitions are not dependent on community property law.

Income to a Business Entity: 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 \$500 or more in income, even though you are not required to report them.

Examples:

- Alice Ruiz is a partner in a business entity. She has a 25% interest. On Schedule A-2, she must disclose 25% of the fair market value of the business entity; 25% of the gross income to the business entity (even though all of the income received was reinvested in the business and she did not personally receive any income from the business); and the name of each source of \$40,000 or more to the business.

Terms & Definitions - (continued)

- Cynthia and Mark Johnson, a married couple, own Classic Autos. Income to this business was \$200,000. In determining the amount to report for income on Schedule A-2, Part 2, Mark must include his 50% share (\$100,000) and 50% of his spouse's share (\$50,000). Thus, his reportable income would be \$150,000 and he will check the box indicating \$100,001-\$1,000,000. (Also see Reference Pamphlet, page 13, for an example of how to calculate the value of this investment.)

You are not required to report:

- Salary, reimbursement for expenses or per diem, social security, disability, or other similar benefit payments received by you or your spouse or registered domestic partner from a federal, state, or local government agency
- A travel payment that was received from a non-profit entity exempt from taxation under Internal Revenue Code Section 501(c)(3) for which you provided equal or greater consideration, such as reimbursement for travel on business for a 501(c)(3) organization for which you are a board member.
- Campaign contributions
- A cash bequest or cash inheritance
- Returns on a security registered with the Securities and Exchange Commission, including dividends, interest, or proceeds from a sale of stocks or bonds unless the purchaser can be identified.
- Redemption of a mutual fund
- Payments received under an insurance policy, including an annuity
- 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
- Your spouse's or registered domestic partner's income that is legally "separate" income so long as the funds are not commingled with community funds or used to pay community expenses
- Income of dependent children
- Automobile trade-in allowances from dealers
- Loans and loan repayments received from your spouse or registered domestic partner, 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)

- Any loan 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
- 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
- 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

Incentive Compensation: "Incentive compensation" means income over and above salary that is either ongoing or cumulative, or both, as sales or purchases of goods or services accumulate. Incentive compensation is calculated by a predetermined formula set by the official's employer which correlates to the conduct of the purchaser in direct response to the effort of the official.

Incentive compensation does not include:

- Salary
- Commission income (*For information regarding disclosure of "commission income," see Reference Pamphlet, page 8.*)
- Bonuses for activity not related to sales or marketing, the amount of which is based solely on merit or hours worked over and above a predetermined minimum
- Executive incentive plans based on company performance, provided that the formula for determining the amount of the executive's incentive income does not include a correlation between that amount and increased profits derived from increased business with specific and identifiable clients or customers of the company
- Payments for personal services which are not marketing or sales

The purchaser is a source of income to the official if all three of the following apply:

- the official's employment responsibilities include directing sales or marketing activity toward the purchaser; and
- there is direct personal contact between the official and the purchaser intended by the official to generate sales or business; and
- there is a direct relationship between the purchasing activity of the purchaser and the amount of the incentive compensation received by the official.

Terms & Definitions - (continued)

Report incentive compensation as follows:

- In addition to salary, reimbursement of expenses, and other income received from your employer, separately report on Schedule C the name of each person who purchased products or services sold, marketed or represented by you if you received incentive compensation of \$500 or more attributable to the purchaser during the period covered by the statement.
- If incentive compensation is paid by your employer in a lump sum, without allocation of amounts to specific customers, you must determine the amount of incentive compensation attributable to each of your customers. This may be based on the volume of sales to those customers.

(See Regulations 18700.1 and 18728.5 for more information.)

Investment Funds: The term “investment” no longer includes certain exchange traded funds, closed-end funds, or funds held in an Internal Revenue Code qualified plan. These non-reportable investment funds (1) must be bona fide investment funds that pool money from more than 100 investors, (2) must hold securities of more than 15 issuers, and (3) cannot have a stated policy of concentrating their holdings in the same industry or business (“sector funds”). In addition, the filer may not influence or control the decision to purchase or sell the specific fund on behalf of his or her agency during the reporting period or influence or control the selection of any specific investment purchased or sold by the fund. (Regulation 18237)

Investments and Interests in Real Property: When disclosing investments on Schedules A-1 or A-2 and interests in real property on Schedules A-2 or B, you must include investments and interests in real property held by your spouse or registered domestic partner, and those held by your dependent children, as if you held them directly.

Examples:

- Terry Pearson, her husband, and two dependent children each own \$600 in stock in General Motors. Because the total value of their holdings is \$2,400, Terry must disclose the stock as an investment on Schedule A-1.
- Cynthia and Mark Johnson, a married couple, jointly own Classic Autos. Mark must disclose Classic Autos as an investment on Schedule A-2. To determine the reportable value of the investment, Mark will aggregate the value of his 50% interest and Cynthia’s 50% interest. Thus, if the total value of the business entity is \$150,000, he will check the box \$100,001 - \$1,000,000 in Part 1 of Schedule A-2. (Also see Reference Pamphlet, page 11, for an example of how to calculate reportable income.)

The Johnsons also own the property where Classic Autos is located. To determine the reportable value of the real property, Mark will again aggregate the value of his 50% interest and Cynthia’s 50% interest to determine the amount to report in Part 4 of Schedule A-2.

- Katie Smith rents out a room in her home. She receives \$6,000 a year in rental income. Katie will report the fair market value of the rental portion of her residence and the income received on Schedule B.

Jurisdiction: Report discloseable investments and sources of income (including loans, gifts, and travel payments) that are either located in or doing business in your agency’s jurisdiction, are planning to do business in your agency’s jurisdiction, or have done business during the previous two years in your agency’s jurisdiction, and interests in real property located in your agency’s jurisdiction.

A business entity is doing business in your agency’s jurisdiction if the entity has business contacts on a regular or substantial basis with a person who maintains a physical presence in your jurisdiction.

Business contacts include, but are not limited to, manufacturing, distributing, selling, purchasing, or providing services or goods. Business contacts do not include marketing via the Internet, telephone, television, radio, or printed media.

The same criteria are used to determine whether an individual, organization, or other entity is 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/code filers should consult their disclosure categories to determine if the donor of a gift is of the type that must be disclosed.)

When reporting interests in real property, if your jurisdiction is the state, you must disclose real property located within the state of California unless your agency’s conflict of interest code specifies otherwise.

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.

Terms & Definitions - (continued)

See the following explanations to determine what your jurisdiction is:

State Offices and All Courts: Your jurisdiction is the state if you are an elected state officer, a state legislator, or a candidate for one of these offices. Judges, judicial candidates, and court commissioners also have statewide jurisdiction. (*In re Baty* (1979) 5 FPPC Ops. 10) 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 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. (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 (for example, school districts, special districts and JPAs): If you are an elected officer, candidate, official or employee of, or a consultant to an agency not covered above, your jurisdiction is the region, district, or other geographical area in which the agency has jurisdiction. See the multi-county example above.

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 \$2,000 or more. The value of the interest is the total amount of rent owed by you during the reporting period or, for a candidate or assuming office statement, during the prior 12 months.

You are not required to disclose a leasehold interest with a value of less than \$2,000 or a month-to-month tenancy.

Loan Reporting: Filers are not required to report loans from commercial lending institutions or any indebtedness created as part of retail installment or credit card transactions that are made in the lender’s regular course of business, without regard to official status, on terms available to members of the public.

Loan Restrictions: State and local elected and appointed public officials are prohibited from receiving any personal loan totaling more than \$250 from an official, employee, or

consultant of their government agencies or any government 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 agreement 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 for further information, or see the FPPC fact sheet entitled “Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans,” which can be obtained from your filing officer or the FPPC website (www.fppc.ca.gov).

Privileged Information: FPPC Regulation 18740 sets out specific procedures that must be followed in order to withhold the name of a source of income. Under this regulation, 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 or Federal law. However, you must provide an explanation for nondisclosure separately stating, for each undisclosed person, the legal basis for the assertion of the privilege, facts demonstrating why the privilege is applicable, and that to the best of your knowledge you have not and will not make, participate in making, or use your official position to influence a governmental decision affecting the undisclosed person in violation of Government Code Section 87100. This explanation may be included with, or attached to, the public official’s Form 700.

We note that the name of a source of income is privileged only to a limited extent under California law. For example, a name is protected by attorney-client privilege only when facts concerning an attorney’s representation of an anonymous client are publicly known and those facts,

Terms & Definitions - (continued)

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 only when disclosure of the patient's name would also reveal the nature of the treatment received by the patient. A patient's name is also protected if the disclosure of the patient's name would constitute a violation by an entity covered under the Federal Health Insurance Portability and Accountability Act (also known as HIPAA).

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 18700.3 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 (for example, 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.

Registered Domestic Partners: Filers must report investments and interests in real property held by, and sources of income to, registered domestic partners. (See Regulation 18229.)

Retirement Accounts (for example, 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). For help in determining whether your investments and real property are reportable, see the instructions to Schedules A-1, A-2, and B.

If your retirement account holds reportable assets, disclose only the assets held in the account, not the account itself. You may have to contact your account manager to determine the assets contained in your account.

Schedule A-1: Report any business entity in which the value of your investment interest was \$2,000 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 \$2,000 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-1 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. The account contains stock in several companies doing business in his jurisdiction. One of his stock holdings, Misac 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 \$2,000. Bob must report Misac Computers as an investment on Schedule A-1 because the value of his stock in that company was \$2,000 or more.
- Adriane Fisher has \$5,000 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 \$2,000 during the reporting period. Although her retirement fund holds reportable assets, she has no disclosure requirement because she did not have a \$2,000 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 \$2,000, she will be required to disclose the real property on Schedule B for that reporting period.

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

Terms & Definitions - (continued)

Examples:

- Sarah Murphy has set up a living trust that holds her principal residence, stock in several companies that do business in her jurisdiction, and a rental home in her agency's jurisdiction. Since Sarah is the trustor and can revoke or terminate the trust, she must disclose any stock worth \$2,000 or more and the rental home on Schedule A-2. Sarah's residence is not reportable because it is used exclusively as her personal residence.
- Ben Yee is listed as a beneficiary in his grandparents' trust. However, Ben does not presently receive income from the trust, nor does he have an irrevocable future right to receive income or principal. Therefore, Ben is not required to disclose any assets contained in his grandparents' trust.

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 the standards set out in FPPC Regulation 18235, and you must disclose reportable assets originally transferred into the blind trust and income from those original assets on Schedule A-2 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.

For example, you receive a place setting of china valued at \$150 from a reportable source as a wedding gift. Because the value to you is \$50 or more, you must report the gift on Schedule D, but may state its value as \$75.

Wedding gifts are not subject to the \$460 gift limit (\$470 during 2017 - 2018), but they are subject to the \$10 lobbyist/lobbying firm gift limit for state officials.

Privacy Information Notice

Information requested on all FPPC forms is used by the FPPC to administer and enforce the Political Reform Act (Gov. Code Sections 81000-91014 and California Code of Regulations Sections 18110-18997). All information required by these forms is mandated by the Political Reform Act. Failure to provide all of the information required by the Act is a violation subject to administrative, criminal, or civil prosecution. All reports and statements provided are public records open for public inspection and reproduction.

If you have any questions regarding this Privacy Notice or how to access your personal information, please contact the FPPC at:

General Counsel
Fair Political Practices Commission
428 J Street, Suite 620
Sacramento, CA 95814
(916) 322-5660
(866) 275-3772

2016/2017 Statement of Economic Interests



Form 700

A Public Document

Also available on the FPPC website:

- ***Form 700 in Excel format***
- ***Reference Pamphlet for Form 700***

California Fair Political Practices Commission

Email Advice: advice@fppc.ca.gov

Toll-free advice line: 1 (866) ASK-FPPC • 1 (866) 275-3772

Telephone: (916)322-5660 • Website: www.fppc.ca.gov

What's New

Gift Limit Increase

The gift limit increased to \$470 for calendar years 2017 and 2018. The gift limit during 2016 was \$460.

Gifts of Travel

If an individual receives a payment that is a reportable gift for travel taken on or after January 1, 2016, he or she must disclose the travel destination. (See Schedule E instructions for other details that must be disclosed.)

Who must file:

- Elected and appointed officials and candidates listed in Government Code Section 87200
- Employees, appointed officials, and consultants filing pursuant to a conflict of interest code ("code filers").
Obtain your disclosure categories, which describe the interests you must report, from your agency; they are not part of the Form 700
- Candidates running for local elective offices that are designated in a conflict of interest code (e.g., county sheriffs, city clerks, school board trustees, and water board members)

Exception: Candidates for a county central committee are not required to file the Form 700.

- Members of newly created boards and commissions not yet covered under a conflict of interest code
- Employees in newly created positions of existing agencies

See Reference Pamphlet, page 3, at www.fppc.ca.gov.

Where to file:

87200 Filers

State offices	➔	Your agency
Judicial offices	➔	The clerk of your court
Retired Judges	➔	Directly with FPPC
County offices	➔	Your county filing official
City offices	➔	Your city clerk
Multi-County offices	➔	Your agency

Code Filers — State and Local Officials, Employees, and Consultants Designated in a Conflict of Interest

Code: File with your agency, board, or commission unless otherwise specified in your agency's code (e.g., Legislative staff files directly with FPPC). In most cases, the agency, board, or commission will retain the statements.

Members of Boards and Commissions of Newly Created Agencies:

File with your newly created agency or with your agency's code reviewing body.

Employees in Newly Created Positions of Existing Agencies:

File with your agency or with your agency's code reviewing body. See Reference Pamphlet, page 3.

Candidates: File with your local elections office.

How to file:

The Form 700 is available at www.fppc.ca.gov. Form 700 schedules are also available in Excel format. All statements must have an original "wet" signature or be duly authorized by your filing officer to file electronically under Government Code Section 87500.2. Instructions, examples, FAQs, and a reference pamphlet are available to help answer your questions.

When to file:

Annual Statements

➔ March 1, 2017

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

➔ April 3, 2017

- Most other filers

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

Statements postmarked by the filing deadline are considered filed on time.

Assuming Office and Leaving Office Statements

Most filers file within 30 days of assuming or leaving office or within 30 days of the effective date of a newly adopted or amended conflict of interest code.

Exception:

If you assumed office between October 1, 2016, and December 31, 2016, and filed an assuming office statement, you are not required to file an annual statement until March 1, 2018, or April 2, 2018, whichever is applicable. The annual statement will cover the day after you assumed office through December 31, 2017. See Reference Pamphlet, pages 6 and 7, for additional exceptions.

Candidate Statements

File no later than the final filing date for the declaration of candidacy or nomination documents.

Amendments

Statements may be amended at any time. You are only required to amend the schedule that needs to be revised. It is not necessary to amend the entire filed form. Obtain amendment schedules at www.fppc.ca.gov.

There is no provision for filing deadline extensions unless the filer is serving in active military duty.

Statements of 30 pages or less may be faxed by the deadline as long as the originally signed paper version is sent by first class mail to the filing official within 24 hours.

Introduction

The Political Reform Act (Gov. Code Sections 81000-91014) requires most state and local government officials and employees to publicly disclose their personal assets and income. They also must disqualify themselves from participating in decisions that may affect their personal economic interests. The Fair Political Practices Commission (FPPC) is the state agency responsible for issuing the attached Statement of Economic Interests, Form 700, and for interpreting the law's provisions.

Gift Prohibition

Gifts received by most state and local officials, employees, and candidates are subject to a limit. During 2015 and 2016, the gift limit was \$460 from a single source per calendar year. For years 2017-2018, the limit increased to \$470 from a single source during a calendar year.

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 Reference Pamphlet, page 10.

State and local officials and employees should check with their agency to determine if other restrictions apply.

Disqualification

Public officials are, under certain circumstances, required to disqualify themselves from making, participating in, or attempting to influence governmental decisions that will affect their economic interests. This may include interests they are not required to disclose (i.e., a personal residence is often not reportable, but may be disqualifying). Specific disqualification requirements apply to 87200 filers (e.g., city councilmembers, members of boards of supervisors, planning commissioners, etc.). These officials must publicly identify the economic interest that creates a conflict of interest and leave the room before a discussion or vote takes place at a public meeting. For more information, consult Government Code Section 87105, Regulation 18707, and the Guide to Recognizing Conflicts of Interest at www.fppc.ca.gov.

Honorarium Ban

Most state and local officials, employees, and candidates are prohibited from accepting an honorarium for any speech given, article published, or attendance at a conference, convention, meeting, or like gathering. See Reference Pamphlet, page 10.

Loan Restrictions

Certain state and local officials are subject to restrictions on loans. See Reference Pamphlet, page 14.

Post-Governmental Employment

There are restrictions on representing clients or employers before former agencies. The provisions apply to elected state officials, most state employees, local elected officials, county chief administrative officers, city managers, including the chief administrator of a city, and general managers or chief administrators of local special districts and JPAs. The FPPC website has fact sheets explaining the provisions.

Late Filing

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

Persons who fail to timely file their Form 700 may be referred to the FPPC's Enforcement Division (and, in some cases, to the Attorney General or district attorney) for investigation and possible prosecution. In addition to the late filing penalties, a fine of up to \$5,000 per violation may be imposed.

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

- Email questions to advice@fppc.ca.gov.
- Call the FPPC toll-free at (866) 275-3772.

Form 700 is a Public Document Public Access Must Be Provided

Statements of Economic Interests are public documents. The filing officer must permit any member of the public to inspect and receive a copy of any statement.

- Statements must be available as soon as possible during the agency's regular business hours, but in any event not later than the second business day after the statement is received. Access to the Form 700 is not subject to the Public Records Act procedures.
- No conditions may be placed on persons seeking access to the forms.
- No information or identification may be required from persons seeking access.
- Reproduction fees of no more than 10 cents per page may be charged.

Types of Form 700 Filings

Assuming Office Statement:

If you are a newly appointed official or are newly employed in a position designated, or that will be designated, in a state or local agency's conflict of interest code, your assuming office date is the date you were sworn in or otherwise authorized to serve in the position. If you are a newly elected official, your assuming office date is the date you were sworn in.

- Investments, interests in real property, and business positions held on the date you assumed the office or position must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date you assumed the office or position is reportable.

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

Example:

Maria Lopez was nominated by the Governor to serve on a state agency board that is subject to state Senate confirmation. The assuming office date is the date Maria's nomination is submitted to the Senate. Maria must report investments, interests in real property, and business positions she holds on that date, and income (including loans, gifts, and travel payments) received during the 12 months prior to that date.

If your office or position has been added to a newly adopted or newly amended conflict of interest code, use the effective date of the code or amendment, whichever is applicable.

- Investments, interests in real property, and business positions held on the effective date of the code or amendment must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the effective date of the code or amendment is reportable.

Annual Statement:

Generally, the period covered is January 1, 2016, through December 31, 2016. If the period covered by the statement is different than January 1, 2016, through December 31, 2016, (for example, you assumed office between October 1, 2015, and December 31, 2015 or you are combining statements), you must specify the period covered.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2016.

- If your disclosure category changes during a reporting period, disclose under the old category until the effective date of the conflict of interest code amendment and disclose under the new disclosure category through the end of the reporting period.

Leaving Office Statement:

Generally, the period covered is January 1, 2016, through the date you stopped performing the duties of your position. If the period covered differs from January 1, 2016, through the date you stopped performing the duties of your position (for example, you assumed office between October 1, 2015, and December 31, 2015, or you are combining statements), the period covered must be specified. The reporting period can cover parts of two calendar years.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2016.

Candidate Statement:

If you are filing a statement in connection with your candidacy for state or local office, investments, interests in real property, and business positions held on the date of filing your declaration of candidacy must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date of filing your declaration of candidacy is reportable. Do not change the preprinted dates on Schedules A-1, A-2, and B.

Candidates running for local elective offices (e.g., county sheriffs, city clerks, school board trustees, or water district board members) must file candidate statements, as required by the conflict of interest code for the elected position. The code may be obtained from the agency of the elected position.

Amendments:

If you discover errors or omissions on any statement, file an amendment as soon as possible. You are only required to amend the schedule that needs to be revised; it is not necessary to refile the entire form. Obtain amendment schedules from the FPPC website at www.fppc.ca.gov.

Instructions

Cover Page

Enter your name, mailing address, and daytime telephone number in the spaces provided. **Because the Form 700 is a public document, you may list your business/office address instead of your home address.**

Part 1. Office, Agency, or Court

- Enter the name of the office sought or held, or the agency or court. Consultants must enter the public agency name rather than their private firm's name. (Examples: State Assembly; Board of Supervisors; Office of the Mayor; Department of Finance; Hope County Superior Court)
- Indicate the name of your division, board, or district, if applicable. (Examples: Division of Waste Management; Board of Accountancy; District 45). **Do not use acronyms.**
- Enter your position title. (Examples: Director; Chief Counsel; City Council Member; Staff Services Analyst)
- If you hold multiple positions (i.e., a city council member who also is a member of a county board or commission), you may be required to file statements with each agency. To simplify your filing obligations, you may complete an expanded statement.
- To do this, enter the name of the other agency(ies) with which you are required to file and your position title(s) in the space provided. **Do not use acronyms.** Attach an additional sheet if necessary. Complete one statement covering the disclosure requirements for all positions. Each copy must contain an original signature. Therefore, before signing the statement, make a copy for each agency. Sign each copy with an original signature and file with each agency.

If you assume or leave a position after a filing deadline, you must complete a separate statement. For example, a city council member who assumes a position with a county special district after the April 1 annual filing deadline must file a separate assuming office statement. In subsequent years, the city council member may expand his or her annual filing to include both positions.

Example:

Scott Baker is a city council member for the City of Lincoln and a board member for the Camp Far West Irrigation District – a multi-county agency that covers Placer and Yuba counties. Scott will complete one Form 700 using full disclosure (as required for the city position) and covering interests in both Placer and Yuba counties (as required for the multi-county position) and list both positions on the Cover Page. Before signing the statement, Scott will make a copy and sign both statements. One statement will be filed with City of Lincoln and the other will be filed with Camp Far West Irrigation District. Both will contain an original signature.

Part 2. Jurisdiction of Office

- Check the box indicating the jurisdiction of your agency and, if applicable, identify the jurisdiction. Judges, judicial candidates, and court commissioners have statewide jurisdiction. All other filers should review the Reference Pamphlet, page 13, to determine their jurisdiction.
- If your agency is a multi-county office, list each county in which your agency has jurisdiction.

- If your agency is not a state office, court, county office, city office, or multi-county office (e.g., school districts, special districts and JPAs), check the "other" box and enter the county or city in which the agency has jurisdiction.

Example:

This filer is a member of a water district board with jurisdiction in portions of Yuba and Sutter Counties.

1. Office, Agency, or Court	
Agency Name (Do not use acronyms) Feather River Irrigation District	
Division, Board, Department, District, if applicable N/A	Your Position Board Member
If filing for multiple positions, list below or on an attachment. (Do not use acronyms)	
Agency: N/A	Position:
2. Jurisdiction of Office (Check at least one box)	
<input type="checkbox"/> State	<input type="checkbox"/> Judge or Court Commissioner (Statewide Jurisdiction)
<input checked="" type="checkbox"/> Multi-County Yuba & Sutter Counties	<input type="checkbox"/> County of
<input type="checkbox"/> City of	<input type="checkbox"/> Other

Part 3. Type of Statement

Check at least one box. The period covered by a statement is determined by the type of statement you are filing. If you are completing a 2016 annual statement, **do not** change the pre-printed dates to reflect 2017. Your annual statement is used for reporting the **previous year's** economic interests. Economic interests for your annual filing covering January 1, 2017, through December 31, 2017, will be disclosed on your statement filed in 2018. See Reference Pamphlet, page 4.

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

Part 4. Schedule Summary

- Complete the Schedule Summary after you have reviewed each schedule to determine if you have reportable interests.
- Enter the total number of completed pages including the cover page and either check the box for each schedule you use to disclose interests; **or** if you have nothing to disclose on any schedule, check the "No reportable interests" box. Please **do not** attach any blank schedules.

Part 5. Verification

Complete the verification by signing the statement and entering the date signed. All statements must have an original "wet" signature or be duly authorized by your filing officer to file electronically under Government Code Section 87500.2. Instructions, examples, FAQs, and a reference pamphlet are available to help answer your questions. **When you sign your statement, you are stating, under penalty of perjury, that it is true and correct.** Only the filer has authority to sign the statement. An unsigned statement is not considered filed and you may be subject to late filing penalties.

FPPC Form 700 (2016/2017)

FPPC Advice Email: advice@fppc.ca.gov

FPPC Toll-Free Helpline: 866/275-3772 www.fppc.ca.gov

Instructions – 1

STATEMENT OF ECONOMIC INTERESTS
COVER PAGE

Date Initial Filing Received
Official Use Only

Please type or print in ink.

NAME OF FILER (LAST) (FIRST) (MIDDLE)

1. Office, Agency, or Court

Agency Name (Do not use acronyms)

Division, Board, Department, District, if applicable

Your Position

► If filing for multiple positions, list below or on an attachment. (Do not use acronyms)

Agency: Position:

2. Jurisdiction of Office (Check at least one box)

- ☐ State ☐ Judge or Court Commissioner (Statewide Jurisdiction)
☐ Multi-County ☐ County of
☐ City of ☐ Other

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

- ☐ **Annual:** The period covered is January 1, 2016, through December 31, 2016.
-or- The period covered is / / , through December 31, 2016.
☐ **Assuming Office:** Date assumed / /
☐ **Candidate:** Election year and office sought, if different than Part 1:
☐ **Leaving Office:** Date Left / /
(Check one)
☐ The period covered is January 1, 2016, through the date of leaving office.
-or-
☐ The period covered is / / , through the date of leaving office.

4. Schedule Summary (must complete) ► Total number of pages including this cover page: _____

Schedules attached

- ☐ **Schedule A-1 - Investments** – schedule attached ☐ **Schedule C - Income, Loans, & Business Positions** – schedule attached
☐ **Schedule A-2 - Investments** – schedule attached ☐ **Schedule D - Income – Gifts** – schedule attached
☐ **Schedule B - Real Property** – schedule attached ☐ **Schedule E - Income – Gifts – Travel Payments** – schedule attached

-or-

- ☐ **None - No reportable interests on any schedule**

5. Verification

MAILING ADDRESS STREET CITY STATE ZIP CODE
(Business or Agency Address Recommended - Public Document)

DAYTIME TELEPHONE NUMBER E-MAIL ADDRESS
()

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I acknowledge this is a public document.

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

Date Signed Signature
(month, day, year) (File the originally signed statement with your filing official.)

Which Schedule Do I Use?

Common Reportable Interests

Schedule A-1	Stocks, including those held in an IRA or a 401K
Schedule A-2	Business entities (including certain independent contracting), sole proprietorships, partnerships, LLCs, corporations, and trusts
Schedule B	Rental property in the jurisdiction, or within two miles of the boundaries of the jurisdiction
Schedule C	Non-governmental salaries of public official and spouse/registered domestic partner
Schedule D	Gifts from businesses (such as tickets to sporting or entertainment events)
Schedule E	Travel payments from third parties (not your employer)

Common Non-Reportable Interests

Schedule A-1	Insurance policies, government bonds, diversified mutual funds, certain funds similar to diversified mutual funds (such as exchange traded funds) and investments held in certain retirement accounts. See Reference Pamphlet, page 13, for detailed information. (Regulation 18237)
Schedule A-2	Savings and checking accounts and annuities
Schedule B	A residence used exclusively as a personal residence (such as a home or vacation cabin)
Schedule C	Governmental salary (such as a school district)
Schedule D	Gifts from family members
Schedule E	Travel paid by your government agency

Remember:

- ✓ Mark the "No reportable interests" box on Part 4 of the Schedule Summary on the Cover Page if you determine you have nothing to disclose and file the Cover Page only. **Make sure you carefully read all instructions to ensure proper reporting.**
- ✓ The Form 700 is a public document.
- ✓ **Most individuals must consult their agency's conflict of interest code for reportable interests.**
- ✓ Most individuals file the Form 700 with their agencies.

Questions and Answers

General

- Q. What is the reporting period for disclosing interests on an assuming office statement or a candidate statement?
- A. On an assuming office statement, disclose all reportable investments, interests in real property, and business positions held on the date you assumed office. In addition, you must disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you assumed office.

On a candidate statement, disclose all reportable investments, interests in real property, and business positions held on the date you file your declaration of candidacy. You must also disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you file your declaration of candidacy.

- Q. I hold two other board positions in addition to my position with the county. Must I file three statements of economic interests?
- A. Yes, three are required. However, you may complete one statement listing the county and the two boards on the Cover Page or an attachment as the agencies for which you will be filing. Report your economic interests using the largest jurisdiction and highest disclosure requirements assigned to you by the three agencies. Make two copies of the entire statement before signing it, sign each copy with an original signature, and distribute one original to the county and to each of the two boards. Remember to complete separate statements for positions that you leave or assume during the year.
- Q. I am a department head who recently began acting as city manager. Should I file as the city manager?
- A. Yes. File an assuming office statement as city manager. Persons serving as “acting,” “interim,” or “alternate” must file as if they hold the position because they are or may be performing the duties of the position.
- Q. As a designated employee, I left one state agency to work for another state agency. Must I file a leaving office statement?
- A. Yes. You may also need to file an assuming office statement for the new agency.

- Q. My spouse and I are currently separated and in the process of obtaining a divorce. Must I still report my spouse’s income, investments, and interests in real property?
- A. Yes. A public official must continue to report a spouse’s economic interests until such time as dissolution of marriage proceedings is final. However, if a separate property agreement has been reached prior to that time, your estranged spouse’s income may not have to be reported. Contact the FPPC for more information.

Investment Disclosure

- Q. I have an investment interest in shares of stock in a company that does not have an office in my jurisdiction. Must I still disclose my investment interest in this company?
- A. Probably. The definition of “doing business in the jurisdiction” is not limited to whether the business has an office or physical location in your jurisdiction. See Reference Pamphlet, page 13.
- Q. My spouse and I have a living trust. The trust holds rental property in my jurisdiction, our primary residence, and investments in diversified mutual funds. I have full disclosure. How is this trust disclosed?
- A. Disclose the name of the trust, the rental property and its income on Schedule A-2. Your primary residence and investments in diversified mutual funds registered with the SEC are not reportable.
- Q. I am required to report all investments. I have an IRA that contains stocks through an account managed by a brokerage firm. Must I disclose these stocks even though they are held in an IRA and I did not decide which stocks to purchase?
- A. Yes. Disclose on Schedule A-1 or A-2 any stock worth \$2,000 or more in a business entity located in or doing business in your jurisdiction.

Questions and Answers

Continued

- Q. I am the sole owner of my business, an S-Corporation. I believe that the nature of the business is such that it cannot be said to have any "fair market value" because it has no assets. I operate the corporation under an agreement with a large insurance company. My contract does not have resale value because of its nature as a personal services contract. Must I report the fair market value for my business on Schedule A-2 of the Form 700?
- A. Yes. Even if there are no *tangible* assets, intangible assets, such as relationships with companies and clients are commonly sold to qualified professionals. The "fair market value" is often quantified for other purposes, such as marital dissolutions or estate planning. In addition, the IRS presumes that "personal services corporations" have a fair market value. A professional "book of business" and the associated goodwill that generates income are not without a determinable value. The Form 700 does not require a precise fair market value; it is only necessary to check a box indicating the broad range within which the value falls.
- Q. I own stock in IBM and must report this investment on Schedule A-1. I initially purchased this stock in the early 1990s; however, I am constantly buying and selling shares. Must I note these dates in the "Acquired" and "Disposed" fields?
- A. No. You must only report dates in the "Acquired" or "Disposed" fields when, during the reporting period, you initially purchase a reportable investment worth \$2,000 or more or when you dispose of the entire investment. You are not required to track the partial trading of an investment.
- Q. On last year's filing I reported stock in Encoe valued at \$2,000 - \$10,000. Late last year the value of this stock fell below and remains at less than \$2,000. How should this be reported on this year's statement?
- A. You are not required to report an investment if the value was less than \$2,000 during the **entire** reporting period. However, because a disposed date is not required for stocks that fall below \$2,000, you may want to report the stock and note in the "comments" section that the value fell below \$2,000. This would be for informational purposes only; it is not a requirement.

- Q. We have a Section 529 account set up to save money for our son's college education. Is this reportable?
- A. If the Section 529 account contains reportable interests (e.g., common stock valued at \$2,000 or more), those interests are reportable (not the actual Section 529 account). If the account contains solely mutual funds, then nothing is reported.

Income Disclosure

- Q. I reported a business entity on Schedule A-2. Clients of my business are located in several states. Must I report all clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2, Part 3?
- A. No, only the clients located in or doing business on a regular basis in your jurisdiction must be disclosed.
- Q. I believe I am not required to disclose the names of clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2 because of their right to privacy. Is there an exception for reporting clients' names?
- A. Regulation 18740 provides a procedure for requesting an exemption to allow a client's name not to be disclosed if disclosure of the name would violate a legally recognized privilege under California or Federal law. This regulation may be obtained from our website at www.fppc.ca.gov. See Reference Pamphlet, page 14.
- Q. I am sole owner of a private law practice that is not reportable based on my limited disclosure category. However, some of the sources of income to my law practice are from reportable sources. Do I have to disclose this income?
- A. Yes, even though the law practice is not reportable, reportable sources of income to the law practice of \$10,000 or more must be disclosed. This information would be disclosed on Schedule C with a note in the "comments" section indicating that the business entity is not a reportable investment. The note would be for informational purposes only; it is not a requirement.

Questions and Answers

Continued

Q. I am the sole owner of my business. Where do I disclose my income - on Schedule A-2 or Schedule C?

A. Sources of income to a business in which you have an ownership interest of 10% or greater are disclosed on Schedule A-2. See Reference Pamphlet, page 8, for the definition of "business entity."

Q. My husband is a partner in a four-person firm where all of his business is based on his own billings and collections from various clients. How do I report my community property interest in this business and the income generated in this manner?

A. If your husband's investment in the firm is 10% or greater, disclose 100% of his share of the business on Schedule A-2, Part 1 and 50% of his income on Schedule A-2, Parts 2 and 3. For example, a client of your husband's must be a source of at least \$20,000 during the reporting period before the client's name is reported.

Q. How do I disclose my spouse's or registered domestic partner's salary?

A. Report the name of the employer as a source of income on Schedule C.

Q. I am a doctor. For purposes of reporting \$10,000 sources of income on Schedule A-2, Part 3, are the patients or their insurance carriers considered sources of income?

A. If your patients exercise sufficient control by selecting you instead of other doctors, then your patients, rather than their insurance carriers, are sources of income to you. See Reference Pamphlet, page 14, for additional information.

Q. I received a loan from my grandfather to purchase my home. Is this loan reportable?

A. No. Loans received from family members are not reportable.

Q. Many years ago, I loaned my parents several thousand dollars, which they paid back this year. Do I need to report this loan repayment on my Form 700?

A. No. Payments received on a loan made to a family member are not reportable.

Real Property Disclosure

Q. During this reporting period we switched our principal place of residence into a rental. I have full disclosure and the property is located in my agency's jurisdiction, so it is now reportable. Because I have not reported this property before, do I need to show an "acquired" date?

A. No, you are not required to show an "acquired" date because you previously owned the property. However, you may want to note in the "comments" section that the property was not previously reported because it was used exclusively as your residence. This would be for informational purposes only; it is not a requirement.

Q. I am a city manager, and I own a rental property located in an adjacent city, but one mile from the city limit. Do I need to report this property interest?

A. Yes. You are required to report this property because it is located within 2 miles of the boundaries of the city you manage.

Q. Must I report a home that I own as a personal residence for my daughter?

A. You are not required to disclose a home used as a personal residence for a family member unless you receive income from it, such as rental income.

Q. I am a co-signer on a loan for a rental property owned by a friend. Since I am listed on the deed of trust, do I need to report my friend's property as an interest in real property on my Form 700?

A. No. Simply being a co-signer on a loan for property does not create a reportable interest in real property for you.

Gift Disclosure

Q. If I received a reportable gift of two tickets to a concert valued at \$100 each, but gave the tickets to a friend because I could not attend the concert, do I have any reporting obligations?

A. Yes. Since you accepted the gift and exercised discretion and control of the use of the tickets, you must disclose the gift on Schedule D.

Questions and Answers Continued

- Q. Mary and Joe Benson, a married couple, want to give a piece of artwork to a county supervisor. Is each spouse considered a separate source for purposes of the gift limit and disclosure?
- A. Yes, each spouse may make a gift valued at the gift limit during a calendar year. For example, during 2016 the gift limit was \$460, so the Bensons may have given the supervisor artwork valued at no more than \$920. The supervisor must identify Joe and Mary Benson as the sources of the gift.
- Q. I received free admission to an educational conference related to my official duties. Part of the conference fees included a round of golf. Is the value of the golf considered informational material?
- A. No. The value of personal benefits, such as golf, attendance at a concert, or sporting event, are gifts subject to reporting and limits.
- Q. I am a Form 700 filer with full disclosure. Our agency holds a holiday raffle to raise funds for a local charity. I bought \$10 worth of raffle tickets and won a gift basket valued at \$120. The gift basket was donated by Doug Brewer, a citizen in our city. At the same event, I bought raffle tickets for, and won a quilt valued at \$70. The quilt was donated by a coworker. Are these reportable gifts?
- A. Because the gift basket was donated by an outside source (not an agency employee), you have received a reportable gift valued at \$110 (the value of the basket less the consideration paid). The source of the gift is Doug Brewer and the agency is disclosed as the intermediary. Because the quilt was donated by an employee of your agency, it is not a reportable gift.
- Q. My agency is responsible for disbursing grants. An applicant (501(c)(3) organization) met with agency employees to present its application. At this meeting, the applicant provided food and beverages. Would the food and beverages be considered gifts to the employees? These employees are designated in our agency's conflict of interest code and the applicant is a reportable source of income under the code.
- A. Yes. If the value of the food and beverages consumed by any one filer, plus any other gifts received from the same source during the reporting period total \$50 or more, the food and beverages would be reported using the fair market value and would be subject to the gift limit.

Instructions – Schedules A-1 and A-2 Investments

“Investment” means a financial interest in any business entity (including a consulting business or other independent contracting business) that is located in, doing business in, planning to do business in, or that has done business during the previous two years in your agency’s jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more at any time during the reporting period. See Reference Pamphlet, page 13.

Reportable investments include:

- Stocks, bonds, warrants, and options, including those held in margin or brokerage accounts and managed investment funds (See Reference Pamphlet, page 13.)
- Sole proprietorships
- Your own business or your spouse’s or registered domestic partner’s business (See Reference Pamphlet, page 8, for the definition of “business entity.”)
- Your spouse’s or registered domestic partner’s investments even if they are legally separate property
- Partnerships (e.g., a law firm or family farm)
- Investments in reportable business entities held in a retirement account (See Reference Pamphlet, page 15.)
- If you, your spouse or registered domestic partner, and dependent children together had a 10% or greater ownership interest in a business entity or trust (including a living trust), you must disclose investments held by the business entity or trust. See Reference Pamphlet, page 15, for more information on disclosing trusts.
- Business trusts

You are not required to disclose:

- Government bonds, diversified mutual funds, certain funds similar to diversified mutual funds (such as exchange traded funds) and investments held in certain retirement accounts. See Reference Pamphlet, page 13, for detailed information. (Regulation 18237)
- Bank accounts, savings accounts, money market accounts and certificates of deposits
- Insurance policies
- Annuities
- Commodities
- Shares in a credit union
- Government bonds (including municipal bonds)
- Retirement accounts invested in non-reportable interests (e.g., insurance policies, mutual funds, or government bonds) (See Reference Pamphlet, page 15.)

- Government defined-benefit pension plans (such as CalPERS and CalSTRS plans)
- Certain interests held in a blind trust (See Reference Pamphlet, page 16.)

Use Schedule A-1 to report ownership of less than 10% (e.g., stock). Schedule C (Income) may also be required if the investment is not a stock or corporate bond. See second example below.

Use Schedule A-2 to report ownership of 10% or greater (e.g., a sole proprietorship).

To Complete Schedule A-1:

Do not attach brokerage or financial statements.

- Disclose the name of the business entity.
- Provide a general description of the business activity of the entity (e.g., pharmaceuticals, computers, automobile manufacturing, or communications).
- Check the box indicating the highest fair market value of your investment during the reporting period. If you are filing a candidate or an assuming office statement, indicate the fair market value on the filing date or the date you took office, respectively.
- Identify the nature of your investment (e.g., stocks, warrants, options, or bonds).
- An acquired or disposed of date is only required if you initially acquired or entirely disposed of the investment interest during the reporting period. The date of a stock dividend reinvestment or partial disposal is not required. Generally, these dates will not apply if you are filing a candidate or an assuming office statement.

Examples:

John Smith holds a state agency position. His conflict of interest code requires full disclosure of investments. John must disclose his stock holdings of \$2,000 or more in any company that is located in or does business in California, as well as those stocks held by his spouse or registered domestic partner and dependent children.

Susan Jones is a city council member. She has a 4% interest, worth \$5,000, in a limited partnership located in the city. Susan must disclose the partnership on Schedule A-1 and income of \$500 or more received from the partnership on Schedule C.

Reminders

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

FPPC Form 700 (2016/2017)

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Instructions – 8

SCHEDULE A-1**Investments****Stocks, Bonds, and Other Interests**

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name _____

▶ **NAME OF BUSINESS ENTITY**GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

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

NATURE OF INVESTMENT

- ☐ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

____/____/16 ____/____/16
 ACQUIRED DISPOSED

▶ **NAME OF BUSINESS ENTITY**GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

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

NATURE OF INVESTMENT

- ☐ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

____/____/16 ____/____/16
 ACQUIRED DISPOSED

▶ **NAME OF BUSINESS ENTITY**GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

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

NATURE OF INVESTMENT

- ☐ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

____/____/16 ____/____/16
 ACQUIRED DISPOSED

▶ **NAME OF BUSINESS ENTITY**GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

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

NATURE OF INVESTMENT

- ☐ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

____/____/16 ____/____/16
 ACQUIRED DISPOSED

▶ **NAME OF BUSINESS ENTITY**GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

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

NATURE OF INVESTMENT

- ☐ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

____/____/16 ____/____/16
 ACQUIRED DISPOSED

▶ **NAME OF BUSINESS ENTITY**GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

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

NATURE OF INVESTMENT

- ☐ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

____/____/16 ____/____/16
 ACQUIRED DISPOSED

Comments: _____

Instructions – Schedule A-2

Investments, Income, and Assets of Business Entities/Trusts

Use Schedule A-2 to report investments in a business entity (including a consulting business or other independent contracting business) or trust (including a living trust) in which you, your spouse or registered domestic partner, and your dependent children, together or separately, had a 10% or greater interest, totaling \$2,000 or more, during the reporting period and which is located in, doing business in, planning to do business in, or which has done business during the previous two years in your agency's jurisdiction. See Reference Pamphlet, page 13. A trust located outside your agency's jurisdiction is reportable if it holds assets that are located in or doing business in the jurisdiction. Do not report a trust that contains non-reportable interests. For example, a trust containing only your personal residence not used in whole or in part as a business, your savings account, and some municipal bonds, is not reportable.

Also report on Schedule A-2 investments and real property held by that entity or trust if your pro rata share of the investment or real property interest was \$2,000 or more during the reporting period.

To Complete Schedule A-2:

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

- Provide a general description of the business activity of the entity.
- Check the box indicating the highest fair market value of your investment during the reporting period.
- If you initially acquired or entirely disposed of this interest during the reporting period, enter the date acquired or disposed.
- Identify the nature of your investment.
- Disclose the job title or business position you held with the entity, if any (i.e., if you were a director, officer, partner, trustee, employee, or held any position of management). A business position held by your spouse is not reportable.

Part 2. Check the box indicating **your pro rata** share of the **gross** income received **by** the business entity or trust. This amount includes your pro rata share of the **gross** income **from** the business entity or trust, as well as your community property interest in your spouse's or registered domestic partner's share. Gross income is the total amount of income before deducting expenses, losses, or taxes.

Part 3. Disclose the name of each source of income that is located in, doing business in, planning to do business in, or that has done business during the previous two years in your agency's jurisdiction, as follows:

- Disclose each source of income and outstanding loan **to the business entity or trust** identified in Part 1 if your pro rata share of the **gross** income (including your community property interest in your spouse's or registered domestic partner's share) to the business entity or trust from that source was \$10,000 or more during the reporting

period. See Reference Pamphlet, page 11, for examples. Income from governmental sources may be reportable if not considered salary. See Regulation 18232. Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.

- Disclose each individual or entity that was a source of commission income of \$10,000 or more during the reporting period through the business entity identified in Part 1. See Reference Pamphlet, page 8, for an explanation of commission income.

You may be required to disclose sources of income located outside your jurisdiction. For example, you may have a client who resides outside your jurisdiction who does business on a regular basis with you. Such a client, if a reportable source of \$10,000 or more, must be disclosed.

Mark "None" if you do not have any reportable \$10,000 sources of income to disclose. Using phrases such as "various clients" or "not disclosing sources pursuant to attorney-client privilege" may trigger a request for an amendment to your statement. See Reference Pamphlet, page 14, for details about requesting an exemption from disclosing privileged information.

Part 4. Report any investments or interests in real property held or leased **by the entity or trust** identified in Part 1 if your pro rata share of the interest held was \$2,000 or more during the reporting period. Attach additional schedules or use FPPC's Form 700 Excel spreadsheet if needed.

- Check the applicable box identifying the interest held as real property or an investment.
- If investment, provide the name and description of the business entity.
- If real property, report the precise location (e.g., an assessor's parcel number or address).
- Check the box indicating the highest fair market value of your interest in the real property or investment during the reporting period. (Report the fair market value of the portion of your residence claimed as a tax deduction if you are utilizing your residence for business purposes.)
- Identify the nature of your interest.
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property or investment during the reporting period.

SCHEDULE A-2
Investments, Income, and Assets
of Business Entities/Trusts
(Ownership Interest is 10% or Greater)

CALIFORNIA FORM 700
FAIR POLITICAL PRACTICES COMMISSION
Name _____

► 1. BUSINESS ENTITY OR TRUST	
Name _____	
Address (Business Address Acceptable) _____	
Check one <input type="checkbox"/> Trust, go to 2 <input type="checkbox"/> Business Entity, complete the box, then go to 2	
GENERAL DESCRIPTION OF THIS BUSINESS	

FAIR MARKET VALUE <input type="checkbox"/> \$0 - \$1,999 <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	IF APPLICABLE, LIST DATE: _____/_____/16 ____/_____/16 ACQUIRED DISPOSED
NATURE OF INVESTMENT <input type="checkbox"/> Partnership <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> _____ Other	
YOUR BUSINESS POSITION _____	

► 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)	
<input type="checkbox"/> \$0 - \$499 <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000	<input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000

► 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (Attach a separate sheet if necessary.)	
<input type="checkbox"/> None or <input type="checkbox"/> Names listed below	

► 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST	
Check one box: <input type="checkbox"/> INVESTMENT <input type="checkbox"/> REAL PROPERTY	
Name of Business Entity, if Investment, or Assessor's Parcel Number or Street Address of Real Property _____	
Description of Business Activity or City or Other Precise Location of Real Property _____	
FAIR MARKET VALUE <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	IF APPLICABLE, LIST DATE: _____/_____/16 ____/_____/16 ACQUIRED DISPOSED
NATURE OF INTEREST <input type="checkbox"/> Property Ownership/Deed of Trust <input type="checkbox"/> Stock <input type="checkbox"/> Partnership	
<input type="checkbox"/> Leasehold _____ Yrs. remaining <input type="checkbox"/> Other _____	
<input type="checkbox"/> Check box if additional schedules reporting investments or real property are attached	

► 1. BUSINESS ENTITY OR TRUST	
Name _____	
Address (Business Address Acceptable) _____	
Check one <input type="checkbox"/> Trust, go to 2 <input type="checkbox"/> Business Entity, complete the box, then go to 2	
GENERAL DESCRIPTION OF THIS BUSINESS	

FAIR MARKET VALUE <input type="checkbox"/> \$0 - \$1,999 <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	IF APPLICABLE, LIST DATE: _____/_____/16 ____/_____/16 ACQUIRED DISPOSED
NATURE OF INVESTMENT <input type="checkbox"/> Partnership <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> _____ Other	
YOUR BUSINESS POSITION _____	

► 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)	
<input type="checkbox"/> \$0 - \$499 <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000	<input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000

► 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (Attach a separate sheet if necessary.)	
<input type="checkbox"/> None or <input type="checkbox"/> Names listed below	

► 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST	
Check one box: <input type="checkbox"/> INVESTMENT <input type="checkbox"/> REAL PROPERTY	
Name of Business Entity, if Investment, or Assessor's Parcel Number or Street Address of Real Property _____	
Description of Business Activity or City or Other Precise Location of Real Property _____	
FAIR MARKET VALUE <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	IF APPLICABLE, LIST DATE: _____/_____/16 ____/_____/16 ACQUIRED DISPOSED
NATURE OF INTEREST <input type="checkbox"/> Property Ownership/Deed of Trust <input type="checkbox"/> Stock <input type="checkbox"/> Partnership	
<input type="checkbox"/> Leasehold _____ Yrs. remaining <input type="checkbox"/> Other _____	
<input type="checkbox"/> Check box if additional schedules reporting investments or real property are attached	

Comments: _____

Instructions – Schedule B

Interests in Real Property

Report interests in real property located in your agency's jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more any time during the reporting period. Real property is also considered to be "within the jurisdiction" of a local government agency if the property or any part of it is located within two miles outside the boundaries of the jurisdiction or within two miles of any land owned or used by the local government agency. See Reference Pamphlet, page 13.

Interests in real property include:

- An ownership interest (including a beneficial ownership interest)
- A deed of trust, easement, or option to acquire property
- A leasehold interest (See Reference Pamphlet, page 14.)
- A mining lease
- An interest in real property held in a retirement account (See Reference Pamphlet, page 15.)
- An interest in real property held by a business entity or trust in which you, your spouse or registered domestic partner, and your dependent children together had a 10% or greater ownership interest (Report on Schedule A-2.)
- Your spouse's or registered domestic partner's interests in real property that are legally held separately by him or her

You are **not** required to report:

- A residence, such as a home or vacation cabin, used exclusively as a personal residence (However, a residence in which you rent out a room or for which you claim a business deduction may be reportable. If reportable, report the fair market value of the portion claimed as a tax deduction.)

Please note: A non-reportable residence can still be grounds for a conflict of interest and may be disqualifying.

- Interests in real property held through a blind trust (See Reference Pamphlet, page 16, for exceptions.)

To Complete Schedule B:

- Report the precise location (e.g., an assessor's parcel number or address) of the real property.
- Check the box indicating the fair market value of your interest in the property (regardless of what you owe on the property).
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property during the reporting period.
- Identify the nature of your interest. If it is a leasehold, 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.
- Real property already reported on Schedule A-2, Part 4 is not also required to be reported on Schedule B.
- Code filers – do your disclosure categories require disclosure of real property?

- If you received rental income, check the box indicating the gross amount you received.
- If you had a 10% or greater interest in real property and received rental income, list the name of the source(s) if your pro rata share of the gross income from any single tenant was \$10,000 or more during the reporting period. If you received a total of \$10,000 or more from two or more tenants acting in concert (in most cases, this will apply to married couples), disclose the name of each tenant. Otherwise, mark "None."
- Loans from a private lender that total \$500 or more and are secured by real property may be reportable. **Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.**

When reporting a loan:

- Provide the name and address of the lender.
- Describe the lender's business activity.
- Disclose the interest rate and term of the loan. For variable interest rate loans, disclose the conditions of the loan (e.g., Prime + 2) or the average interest rate paid during the reporting period. The term of a loan is the total number of months or years given for repayment of the loan at the time the loan was established.
- Check the box indicating the highest balance of the loan during the reporting period.
- Identify a guarantor, if applicable.

If you have more than one reportable loan on a single piece of real property, report the additional loan(s) on Schedule C.

Example:

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 Joe 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 tenant paid \$10,000 or more. A married couple would be considered a single tenant.

ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS 4600 24th Street	
CITY Sacramento	
FAIR MARKET VALUE <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	IF APPLICABLE, LIST DATE: ____/____/16 ACQUIRED DISPOSED
NATURE OF INTEREST <input checked="" type="checkbox"/> Ownership/Deed of Trust <input type="checkbox"/> Easement <input type="checkbox"/> Leasehold <input type="checkbox"/> Other Yrs. remaining _____	
IF RENTAL PROPERTY, GROSS INCOME RECEIVED <input type="checkbox"/> \$0 - \$499 <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	
SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more. <input type="checkbox"/> None Henry Wells	
NAME OF LENDER* Sophia Petroillo ADDRESS (Business Address Acceptable) 2121 Blue Sky Parkway, Sacramento BUSINESS ACTIVITY, IF ANY, OF LENDER Restaurant Owner	
INTEREST RATE 8 % <input type="checkbox"/> None	TERM (Months/Years) 15 Years
HIGHEST BALANCE DURING REPORTING PERIOD <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	
<input type="checkbox"/> Guarantor, if applicable	

FPPC Form 700 (2016/2017)

FPPC Advice Email: advice@fppc.ca.gov

FPPC Toll-Free Helpline: 866/275-3772 www.fppc.ca.gov

Instructions – 12

Instructions – Schedule C

Income, Loans, & Business Positions

(Income Other Than Gifts and Travel Payments)

Reporting Income:

Report the source and amount of gross income of \$500 or more you received during the reporting period. Gross income is the total amount of income before deducting expenses, losses, or taxes and includes loans other than loans from a commercial lending institution. See Reference Pamphlet, page 11. You must also report the source of income to your spouse or registered domestic partner if your community property share was \$500 or more during the reporting period.

The source and income must be reported only if the source is located in, doing business in, planning to do business in, or has done business during the previous two years in your agency's jurisdiction. See Reference Pamphlet, page 13, for more information about doing business in the jurisdiction. Reportable sources of income may be further limited by your disclosure category located in your agency's conflict of interest code.

Reporting Business Positions:

You must report your job title with each reportable business entity even if you received no income during the reporting period. Use the comments section to indicate that no income was received.

Commonly reportable income and loans include:

- Salary/wages, per diem, and reimbursement for expenses including travel payments provided by your employer
- Community property interest (50%) in your spouse's or registered domestic partner's income - **report the employer's name and all other required information**
- Income from investment interests, such as partnerships, reported on Schedule A-1
- Commission income not required to be reported on Schedule A-2 (See Reference Pamphlet, page 8.)
- Gross income from any sale, including the sale of a house or car (Report your pro rata share of the total sale price.)
- Rental income not required to be reported on Schedule B
- Prizes or awards not disclosed as gifts
- Payments received on loans you made to others
- An honorarium received prior to becoming a public official (See Reference Pamphlet, page 10, concerning your ability to receive future honoraria.)
- Incentive compensation (See Reference Pamphlet, page 12.)

Reminders

- Code filers – your disclosure categories may not require disclosure of all sources of income.
- If you or your spouse or registered domestic partner are self-employed, report the business entity on Schedule A-2.
- Do not disclose on Schedule C income, loans, or business positions already reported on Schedules A-2 or B.

You are not required to report:

- Salary, reimbursement for expenses or per diem, or social security, disability, or other similar benefit payments received by you or your spouse or registered domestic partner from a federal, state, or local government agency.
- Stock dividends and income from the sale of stock unless the source can be identified.
- Income from a PERS retirement account.

See Reference Pamphlet, page 11, for more exceptions to income reporting.

To Complete Schedule C:

Part 1. Income Received/Business Position Disclosure

- Disclose the name and address of each source of income or each business entity with which you held a business position.
- Provide a general description of the business activity if the source is a business entity.
- Check the box indicating the amount of gross income received.
- Identify the consideration for which the income was received.
- For income from commission sales, check the box indicating the gross income received and list the name of each source of commission income of \$10,000 or more. See Reference Pamphlet, page 8. **Note: If you receive commission income on a regular basis or have an ownership interest of 10% or more, you must disclose the business entity and the income on Schedule A-2.**
- Disclose the job title or business position, if any, that you held with the business entity, even if you did not receive income during the reporting period.

Part 2. Loans Received or Outstanding During the Reporting Period

- Provide the name and address of the lender.
- Provide a general description of the business activity if the lender is a business entity.
- Check the box indicating the highest balance of the loan during the reporting period.
- Disclose the interest rate and the term of the loan.
 - For variable interest rate loans, disclose the conditions of the loan (e.g., Prime + 2) or the average interest rate paid during the reporting period.
 - The term of the loan is the total number of months or years given for repayment of the loan at the time the loan was entered into.
- Identify the security, if any, for the loan.

SCHEDULE C
Income, Loans, & Business
Positions
(Other than Gifts and Travel Payments)

CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION
Name _____

▶ 1. INCOME RECEIVED	▶ 1. INCOME RECEIVED
NAME OF SOURCE OF INCOME _____ ADDRESS (Business Address Acceptable) _____ BUSINESS ACTIVITY, IF ANY, OF SOURCE _____ YOUR BUSINESS POSITION _____	NAME OF SOURCE OF INCOME _____ ADDRESS (Business Address Acceptable) _____ BUSINESS ACTIVITY, IF ANY, OF SOURCE _____ YOUR BUSINESS POSITION _____
GROSS INCOME RECEIVED <input type="checkbox"/> No Income - Business Position Only <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	GROSS INCOME RECEIVED <input type="checkbox"/> No Income - Business Position Only <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000
CONSIDERATION FOR WHICH INCOME WAS RECEIVED <input type="checkbox"/> Salary <input type="checkbox"/> Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.) <input type="checkbox"/> Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.) <input type="checkbox"/> Sale of _____ (Real property, car, boat, etc.) <input type="checkbox"/> Loan repayment <input type="checkbox"/> Commission or <input type="checkbox"/> Rental Income, list each source of \$10,000 or more _____ (Describe) <input type="checkbox"/> Other _____ (Describe)	CONSIDERATION FOR WHICH INCOME WAS RECEIVED <input type="checkbox"/> Salary <input type="checkbox"/> Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.) <input type="checkbox"/> Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.) <input type="checkbox"/> Sale of _____ (Real property, car, boat, etc.) <input type="checkbox"/> Loan repayment <input type="checkbox"/> Commission or <input type="checkbox"/> Rental Income, list each source of \$10,000 or more _____ (Describe) <input type="checkbox"/> Other _____ (Describe)

▶ 2. LOANS RECEIVED OR OUTSTANDING DURING THE REPORTING PERIOD

* You are not required to report loans from commercial lending institutions, or any indebtedness created as part of a retail installment or credit card transaction, made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

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

Comments: _____

Instructions – Schedule D

Income – Gifts

A gift is anything of value for which you have not provided equal or greater consideration to the donor. A gift is reportable if its fair market value is \$50 or more. In addition, multiple gifts totaling \$50 or more received during the reporting period from a single source must be reported.

It is the acceptance of a gift, not the ultimate use to which it is put, that imposes your reporting obligation. Except as noted below, you must report a gift even if you never used it or if you gave it away to another person.

If the exact amount of a gift is unknown, you must make a good faith estimate of the item's fair market value. Listing the value of a gift as "over \$50" or "value unknown" is not adequate disclosure. In addition, if you received a gift through an intermediary, you must disclose the name, address, and business activity of both the donor and the intermediary. You may indicate an intermediary either in the "source" field after the name or in the "comments" section at the bottom of Schedule D.

Commonly reportable gifts include:

- Tickets/passes to sporting or entertainment events
- Tickets/passes to amusement parks
- Parking passes not used for official agency business
- Food, beverages, and accommodations, including those provided in direct connection with your attendance at a convention, conference, meeting, social event, meal, or like gathering
- Rebates/discounts not made in the regular course of business to members of the public without regard to official status
- Wedding gifts (See Reference Pamphlet, page 16)
- An honorarium received prior to assuming office (You may report an honorarium as income on Schedule C, rather than as a gift on Schedule D, if you provided services of equal or greater value than the payment received. See Reference Pamphlet, page 10, regarding your ability to receive future honoraria.)
- Transportation and lodging (See Schedule E.)
- Forgiveness of a loan received by you

You are not required to disclose:

- Gifts that were not used and that, within 30 days after receipt, were returned to the donor or delivered to a charitable organization or government agency without

being claimed by you as a charitable contribution for tax purposes

- Gifts from your spouse or registered domestic partner, child, parent, grandparent, grandchild, brother, sister, and certain other family members (See Regulation 18942 for a complete list.). The exception does not apply if the donor was acting as an agent or intermediary for a reportable source who was the true donor.
- Gifts of similar value exchanged between you and an individual, other than a lobbyist registered to lobby your state agency, on holidays, birthdays, or similar occasions
- Gifts of informational material provided to assist you in the performance of your official duties (e.g., books, pamphlets, reports, calendars, periodicals, or educational seminars)
- A monetary bequest or inheritance (However, inherited investments or real property may be reportable on other schedules.)
- Personalized plaques or trophies with an individual value of less than \$250
- Campaign contributions
- Up to two tickets, for your own use, to attend a fundraiser for a campaign committee or candidate, or to a fundraiser for an organization exempt from taxation under Section 501(c)(3) of the Internal Revenue Code. The ticket must be received from the organization or committee holding the fundraiser.
- Gifts given to members of your immediate family if the source has an established relationship with the family member and there is no evidence to suggest the donor had a purpose to influence you. (See Regulation 18943.)
- Free admission, food, and nominal items (such as a pen, pencil, mouse pad, note pad or similar item) available to all attendees, at the event at which the official makes a speech (as defined in Regulation 18950(b)(2)), so long as the admission is provided by the person who organizes the event.
- Any other payment not identified above, that would otherwise meet the definition of gift, where the payment is made by an individual who is not a lobbyist registered to lobby the official's state agency, where it is clear that the gift was made because of an existing personal or business relationship unrelated to the official's position and there is no evidence whatsoever at the time the gift is made to suggest the donor had a purpose to influence you.

To Complete Schedule D:

- Disclose the full name (not an acronym), address, and, if a business entity, the business activity of the source.
- Provide the date (month, day, and year) of receipt, and disclose the fair market value and description of the gift.

Reminders

- Gifts from a single source are subject to a \$460 limit during 2016. See Reference Pamphlet, page 10.
- Code filers – you only need to report gifts from reportable sources.

Gift Tracking Mobile Application

- FPPC has created a gift tracking app for mobile devices that helps filers track gifts and provides a quick and easy way to upload the information to the Form 700. Visit FPPC's website to download the app.

SCHEDULE D

Income – Gifts

CALIFORNIA FORM 700
 FAIR POLITICAL PRACTICES COMMISSION
 Name _____

<p>► NAME OF SOURCE <i>(Not an Acronym)</i></p> <p>_____</p> <p>ADDRESS <i>(Business Address Acceptable)</i></p> <p>_____</p> <p>BUSINESS ACTIVITY, IF ANY, OF SOURCE</p> <p>_____</p> <table border="1"> <thead> <tr> <th>DATE (mm/dd/yy)</th> <th>VALUE</th> <th>DESCRIPTION OF GIFT(S)</th> </tr> </thead> <tbody> <tr> <td>____/____/____</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>____/____/____</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>____/____/____</td> <td>\$ _____</td> <td>_____</td> </tr> </tbody> </table>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____	<p>► NAME OF SOURCE <i>(Not an Acronym)</i></p> <p>_____</p> <p>ADDRESS <i>(Business Address Acceptable)</i></p> <p>_____</p> <p>BUSINESS ACTIVITY, IF ANY, OF SOURCE</p> <p>_____</p> <table border="1"> <thead> <tr> <th>DATE (mm/dd/yy)</th> <th>VALUE</th> <th>DESCRIPTION OF GIFT(S)</th> </tr> </thead> <tbody> <tr> <td>____/____/____</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>____/____/____</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>____/____/____</td> <td>\$ _____</td> <td>_____</td> </tr> </tbody> </table>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____
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____/____/____	\$ _____	_____																							
____/____/____	\$ _____	_____																							
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)																							
____/____/____	\$ _____	_____																							
____/____/____	\$ _____	_____																							
____/____/____	\$ _____	_____																							

Comments: _____

Instructions – Schedule E Travel Payments, Advances, and Reimbursements

Travel payments reportable on Schedule E include advances and reimbursements for travel and related expenses, including lodging and meals.

Gifts of travel may be subject to the gift limit. In addition, certain travel payments are reportable gifts, but are not subject to the gift limit. To avoid possible misinterpretation or the perception that you have received a gift in excess of the gift limit, you may wish to provide a specific description of the purpose of your travel. See the FPPC fact sheet entitled "Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans" at www.fppc.ca.gov.

You are **not** required to disclose:

- Travel payments received from any state, local, or federal government agency for which you provided services equal or greater in value than the payments received, such as reimbursement for travel on agency business from your government agency employer.
- A payment for travel from another local, state, or federal government agency and related per diem expenses when the travel is for education, training or other inter-agency programs or purposes.
- Travel payments received from your employer in the normal course of your employment that are included in the income reported on Schedule C.
- A travel payment that was received from a non-profit entity exempt from taxation under Internal Revenue Code Section 501(c)(3) for which you provided equal or greater consideration, such as reimbursement for travel on business for a 501(c)(3) organization for which you are a board member.

Note: Certain travel payments may not be reportable if reported on Form 801 by your agency.

To Complete Schedule E:

- Disclose the full name (not an acronym) and address of the source of the travel payment.
- Identify the business activity if the source is a business entity.
- Check the box to identify the payment as a gift or income, report the amount, and disclose the date(s).
 - **Travel payments are gifts** if you did not provide services that were equal to or greater in value than the payments received. You must disclose gifts totaling \$50 or more from a single source during the period covered by the statement.

When reporting travel payments that are gifts, you must provide a description of the gift and the **date(s)** received. If the travel occurred on or after January 1, 2016, you must also disclose the **travel destination**.

- **Travel payments are income** if you provided services that were equal to or greater in value than the payments received. You must disclose income totaling \$500 or more from a single source during the period covered by the statement. You have the burden of proving the payments are income rather than gifts. When reporting travel payments as income, you must describe the services you provided in exchange for the payment. You are not required to disclose the date(s) for travel payments that are income.

Example:

City council member Rick Chandler is the chairman of a 501 (c)(6) trade association and the association pays for Rick's travel to attend its meetings. Because Rick is deemed to be providing equal or greater consideration for the travel payment by virtue of serving on the board, this payment may be reported as income. Payments for Rick to attend other events for which he is not providing services are likely considered gifts.

▶ NAME OF SOURCE (Not an Acronym)	
Health Services Trade Association	
ADDRESS (Business Address Acceptable)	
1230 K Street, Suite 610	
CITY AND STATE	
Sacramento, CA	
<input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE	
Association of Healthcare Workers	
DATE(S): ____/____/____	AMT: \$ 150.00
(If gift)	
▶ MUST CHECK ONE: <input type="checkbox"/> Gift -or- <input checked="" type="checkbox"/> Income	
<input type="radio"/> Made a Speech/Participated in a Panel	
<input checked="" type="radio"/> Other - Provide Description <u>Travel reimbursement for board meeting</u>	

SCHEDULE E
Income – Gifts
Travel Payments, Advances,
and Reimbursements

CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION Name _____

- Mark either the gift or income box.
- Mark the “501(c)(3)” box for a travel payment received from a nonprofit 501(c)(3) organization or the “Speech” box if you made a speech or participated in a panel. These payments are not subject to the gift limit, but may result in a disqualifying conflict of interest.
- For gifts of travel, provide the travel destination.

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

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

Foundational Skills Data in Reading and Math for ALL Scholars at YPSA as of 3.8.17

Legend

- This color at the bottom represents 100% of the scholars receiving 100% in this category.
- This color represents the scholars that are ongoing in their class and grade level
- This color at the bottom or at the right indicates a less than 100% in the category or for a scholar.
- This color indicates the % of scholars in the class who have mastered every category required for the grade level. The fraction number (1/12) immediately above this color indicates the number of scholars in the class who have mastered every category required for the grade level.
- This color indicates scholars with special IEP plans and needs.
- This color indicates the percentage of scholars who have mastered all the categories in the grade level.

Grade Level	Percent of Scholars Mastered Expectations in the Grade Level		
K			92.2%
1			90.8%
2			85.2%
3			84.5%
4			84.4%
5			74.4%
6			96.7%

Sorted from Largest to Smallest		
Grade Level	Percent of Scholars Mastered Expectations in the Grade Level	
6		96.7%
4		94.4%
8		93.9%
5		74.6%
2		65.2%
3		64.0%
1		30.8%

[illegible]

Mr. Hayes		3rd Grade		Classroom Size: 22				L2	
First Name	Last Name	Height (in)	Weight (lbs)	Handedness (L/R)	Eye Color	Hair Color	Hair Style	Height (in)	Weight (lbs)
Adam	Smith	45	100	R	B	B	S	55	120
Benjamin	Johnson	48	110	R	B	B	S	60	130
Charles	Williams	50	120	R	B	B	S	65	140
Daniel	Miller	52	130	R	B	B	S	70	150
Ethan	Wilson	55	140	R	B	B	S	75	160
Frank	Moore	58	150	R	B	B	S	80	170
George	Baker	60	160	R	B	B	S	85	180
Harry	Clark	62	170	R	B	B	S	90	190
Isaac	Green	65	180	R	B	B	S	95	200
James	White	68	190	R	B	B	S	100	210
John	Black	70	200	R	B	B	S	105	220
Joseph	Gray	72	210	R	B	B	S	110	230
Matthew	King	75	220	R	B	B	S	115	240
Michael	Scott	78	230	R	B	B	S	120	250
Nathan	Lee	80	240	R	B	B	S	125	260
Oliver	Walker	82	250	R	B	B	S	130	270
Patrick	Hall	85	260	R	B	B	S	135	280
Robert	Young	88	270	R	B	B	S	140	290
Samuel	Allen	90	280	R	B	B	S	145	300
Thomas	King	92	290	R	B	B	S	150	310
Timothy	Wright	95	300	R	B	B	S	155	320
William	Scott	98	310	R	B	B	S	160	330
Yves	Clark	100	320	R	B	B	S	165	340
Zoe	Green	102	330	R	B	B	S	170	350
Adam	White	105	340	R	B	B	S	175	360
Benjamin	Black	108	350	R	B	B	S	180	370
Charles	Gray	110	360	R	B	B	S	185	380
Daniel	King	112	370	R	B	B	S	190	390
Ethan	Wright	115	380	R	B	B	S	195	400
Frank	Scott	118	390	R	B	B	S	200	410
George	Clark	120	400	R	B	B	S	205	420
Harry	Green	122	410	R	B	B	S	210	430
Isaac	White	125	420	R	B	B	S	215	440
James	Black	128	430	R	B	B	S	220	450
John	Gray	130	440	R	B	B	S	225	460
Joseph	King	132	450	R	B	B	S	230	470
Matthew	Wright	135	460	R	B	B	S	235	480
Michael	Scott	138	470	R	B	B	S	240	490
Nathan	Clark	140	480	R	B	B	S	245	500
Oliver	Green	142	490	R	B	B	S	250	510
Patrick	White	145	500	R	B	B	S	255	520
Robert	Black	148	510	R	B	B	S	260	530
Samuel	Gray	150	520	R	B	B	S	265	540
Thomas	King	152	530	R	B	B	S	270	550
Timothy	Wright	155	540	R	B	B	S	275	560
William	Scott	158	550	R	B	B	S	280	570
Yves	Clark	160	560	R	B	B	S	285	580
Zoe	Green	162	570	R	B	B	S	290	590
Adam	White	165	580	R	B	B	S	295	600
Benjamin	Black	168	590	R	B	B	S	300	610
Charles	Gray	170	600	R	B	B	S	305	620
Daniel	King	172	610	R	B	B	S	310	630
Ethan	Wright	175	620	R	B	B	S	315	640
Frank	Scott	178	630	R	B	B	S	320	650
George	Clark	180	640	R	B	B	S	325	660
Harry	Green	182	650	R	B	B	S	330	670
Isaac	White	185	660	R	B	B	S	335	680
James	Black	188	670	R	B	B	S	340	690
John	Gray	190	680	R	B	B	S	345	700
Joseph	King	192	690	R	B	B	S	350	710
Matthew	Wright	195	700	R	B	B	S	355	720
Michael	Scott	198	710	R	B	B	S	360	730
Nathan	Clark	200	720	R	B	B	S	365	740
Oliver	Green	202	730	R	B	B	S	370	750
Patrick	White	205	740	R	B	B	S	375	760
Robert	Black	208	750	R	B	B	S	380	770
Samuel	Gray	210	760	R	B	B	S	385	780
Thomas	King	212	770	R	B	B	S	390	790
Timothy	Wright	215	780	R	B	B	S	395	800
William	Scott	218	790	R	B	B	S	400	810
Yves	Clark	220	800	R	B	B	S	405	820
Zoe	Green	222	810	R	B	B	S	410	830
Adam	White	225	820	R	B	B	S	415	840
Benjamin	Black	228	830	R	B	B	S	420	850
Charles	Gray	230	840	R	B	B	S	425	860
Daniel	King	232	850	R	B	B	S	430	870
Ethan	Wright	235	860	R	B	B	S	435	880
Frank	Scott	238	870	R	B	B	S	440	890
George	Clark	240	880	R	B	B	S	445	900
Harry	Green	242	890	R	B	B	S	450	910
Isaac	White	245	900	R	B	B	S	455	920
James	Black	248	910	R	B	B	S	460	930
John	Gray	250	920	R	B	B	S	465	940
Joseph	King	252	930	R	B	B	S	470	950
Matthew	Wright	255	940	R	B	B	S	475	960
Michael	Scott	258	950	R	B	B	S	480	970
Nathan	Clark	260	960	R	B	B	S	485	980
Oliver	Green	262	970	R	B	B	S	490	990
Patrick	White	265	980	R	B	B	S	495	1000
Robert	Black	268	990	R	B	B	S	500	1010
Samuel	Gray	270	1000	R	B	B	S	505	1020
Thomas	King	272	1010	R	B	B	S	510	1030
Timothy	Wright	275	1020	R	B	B	S	515	1040
William	Scott	278	1030	R	B	B	S	520	1050
Yves	Clark	280	1040	R	B	B	S	525	1060
Zoe	Green	282	1050	R	B	B	S	530	1070
Adam	White	285	1060	R	B	B	S	535	1080
Benjamin	Black	288	1070	R	B	B	S	540	1090
Charles	Gray	290	1080	R	B	B	S	545	1100
Daniel	King	292	1090	R	B	B	S	550	1110
Ethan	Wright	295	1100	R	B	B	S	555	1120
Frank	Scott	298	1110	R	B	B	S	560	1130
George	Clark	300	1120	R	B	B	S	565	1140
Harry	Green	302	1130	R	B	B	S	570	1150
Isaac	White	305	1140	R	B	B	S	575	1160
James	Black	308	1150	R	B	B	S	580	1170
John	Gray	310	1160	R	B	B	S	585	1180
Joseph	King	312	1170	R	B	B	S	590	1190
Matthew	Wright	315	1180	R	B	B	S	595	1200
Michael	Scott	318	1190	R	B	B	S	600	1210
Nathan	Clark	320	1200	R	B	B	S	605	1220
Oliver	Green	322	1210	R	B	B	S	610	1230
Patrick	White	325	1220	R	B	B	S	615	1240
Robert	Black	328	1230	R	B	B	S	620	1250
Samuel	Gray	330	1240	R	B	B	S	625	1260
Thomas	King	332	1250	R	B	B	S	630	1270
Timothy	Wright	335	1260	R	B	B	S	635	1280
William	Scott	338	1270	R	B	B	S	640	1290
Yves	Clark	340	1280	R	B	B	S	645	1300
Zoe	Green	342	1290	R	B	B	S	650	1310
Adam	White	345	1300	R	B	B	S	655	1320
Benjamin	Black	348	1310	R	B	B	S	660	1330
Charles	Gray	350	1320	R	B	B	S	665	1340
Daniel	King	352	1330	R	B	B	S	670	1350
Ethan	Wright	355	1340	R	B	B	S	675	1360
Frank	Scott	358	1350	R	B	B	S	680	1370
George	Clark	360	1360	R	B	B	S	685	1380
Harry	Green	362	1370	R	B	B	S	690	1390
Isaac	White	365	1380	R	B	B	S	695	1400
James	Black	368	1390	R	B	B	S	700	1410
John	Gray	370	1400	R	B	B	S	705	1420
Joseph	King	372	1410	R	B	B	S	710	1430
Matthew	Wright	375	1420	R	B	B	S	715	1440
Michael	Scott	378	1430	R	B	B	S	720	1450
Nathan	Clark	380	1440	R	B	B	S	725	1460
Oliver	Green	382	1450	R	B	B	S	730	1470
Patrick	White	385	1460	R	B	B	S	735	1480
Robert	Black	388	1470	R	B	B	S	740	1490
Samuel	Gray	390	1480	R	B	B	S	745	1500
Thomas	King	392	1490	R	B	B	S	750	1510
Timothy	Wright	395	1500	R	B	B	S	755	1520
William	Scott	398	1510	R	B	B	S	760	1530
Yves	Clark	400	1520	R	B	B	S	765	1540
Zoe	Green	402	1530	R	B	B	S	770	1550
Adam	White	405	1540	R	B	B	S	775	1560
Benjamin	Black	408	1550	R	B	B	S	780	1570
Charles	Gray	410	1560	R	B	B	S	785	1580
Daniel	King	412	1570	R	B	B	S	790	1590
Ethan	Wright	415	1580	R	B	B	S	795	1600
Frank	Scott	418	1590	R	B	B	S	800	1610
George	Clark	420	1600	R	B	B	S	805	1620
Harry	Green	422	1610	R	B	B	S	810	1630
Isaac	White	425	1620	R	B	B	S	815	1640
James	Black	428	1630	R	B	B	S	820	1650
John	Gray	430	1640	R	B	B	S	825	1660
Joseph	King	432	1650	R	B	B	S	830	1670
Matthew	Wright	435	1660	R	B	B	S	835	1680
Michael	Scott	438	1670	R	B	B	S	840	1690
Nathan	Clark	440	1680	R	B	B	S	845	1700
Oliver	Green	442	1690	R	B	B	S	850	1710
Patrick	White	445	1700	R	B	B	S	855	1720
Robert	Black	448	1710	R	B	B	S	860	1730
Samuel	Gray	450	1720	R	B	B	S	865	1740
Thomas	King	452	1730	R	B	B	S	870	1750
Timothy	Wright	455	1740	R	B	B	S	875	1760
William	Scott	458	1750	R	B	B	S	880	1770
Yves	Clark	460	1760	R	B	B	S	885	1780
Zoe	Green	462	1770	R	B	B	S	890	1790
Adam	White	465	1780	R	B	B	S	895	1800
Benjamin	Black	468	1790	R	B	B	S	900	1810
Charles	Gray	470	1800	R	B	B	S	905	1820
Daniel	King	472	1810	R	B	B	S	910	1830
Ethan	Wright	475	1820	R	B	B	S	915	1840
Frank	Scott	478	1830	R	B	B	S	920	1850
George	Clark	480	1840	R	B	B	S	925	1860
Harry	Green	482	1850	R	B	B	S	930	1870
Isaac	White	485	1860	R	B	B	S	935	1880

[illegible][illegible]

920
Total # Sightwords Recognized
23783 out of 24000

Total # Sightwords Recognized
100000 - more and 100000

Total # Sightwords
23600 out of 23600

Total # Sightwords
46300 - most are 300000

678
Total # Sightwords
33513 out of 34000

Total # Sightwords
200000 - read and 200000

Item# 11.1 Superintendent's Monthly Summary