

1 Milad Dalju, California Bar No. 271364
2 Special Counsel, Enforcement Division
3 San Francisco Ethics Commission
4 25 Van Ness #220
5 San Francisco, CA 94102
6 (510) 238-4976

7 Attorney for Complainant
8 **Enforcement Division of the San Francisco Ethics Commission**

9 **BEFORE THE ETHICS COMMISSION**
10 **CITY AND COUNTY OF SAN FRANCISCO**

11 In the Matter of
12 Alpha J. Buie, treasurer, and the
13 African American Democratic Club,
14 Respondents.

SFEC NO. 13-131112

**Complainant San Francisco Ethics
Commission Enforcement Division's
Administrative Hearing Brief**

15 **I. Introduction**

16 Since ceasing fundraising activity in 2014, Respondents Alpha J. Buie, treasurer, and the African
17 American Democratic Club (Committee), have repeatedly failed to comply with campaign disclosure
18 requirements, which are set forth in the San Francisco Campaign & Governmental Conduct Code at §
19 1.106, *et seq.*, also known as the Campaign Finance Reform Ordinance (CFRO) incorporating by
20 reference the California Government Code § 81000, *et seq.*, also known as the Political Reform Act
21 (PRA). Complainant San Francisco Ethics Commission Staff (Staff) respectfully ask the San Francisco
22 Ethics Commission (Commission) to impose administrative penalties and compel Respondents to file
23 missing campaign statements and, if applicable, a notice of termination. Pursuant to Section X.C. of the
24 San Francisco Ethics Commission Regulations for Investigations and Enforcement Proceedings
25 (Enforcement Regulations), Staff submits this Hearing Brief.

26 **II. Procedural History**

27 The Commission held a probable cause hearing regarding this matter on May 28, 2014, and found
28 probable cause to believe that Respondents committed three violations of CFRO as presented in the
Probable Cause Report. Staff notified Respondents that the Commission would consider the Probable
Cause Report for its May 28, 2014, meeting by e-mail and personal service, but Respondents did not

1 attend the probable cause hearing and did not submit a response to the Probable Cause Report. The
2 Commission may hold this hearing to determine whether, based on substantial evidence, Respondents
3 violated the law as set forth in the Probable Cause Report. SF Charter § C3.699-13(c). Staff notified
4 Respondents, as well as the Charles Spencer, the Committee's Principal Officer, that this hearing would
5 occur during the Commission's January 23, 2017, meeting by U.S. mail and will send Respondents a copy
6 of this Brief by registered U.S. mail, and regular U.S. mail.

7 III. Statement of Facts

8 On October 19, 2011, Respondent Alpha J. Buie formed a general-purpose committee for "African
9 American political education and voter registration." See Declaration of Shaista Shaikh (Shaikh Dec.),
10 Exhibit 1, p. 2, Respondents' Form 410 Statement of Organization. Respondent Buie identified herself as
11 the Treasurer for the Committee and Charles Spencer as the Principal Officer. *Id.* On October 27, 2011,
12 the Committee filed its first Recipient Committee Campaign Statement Form 460 (Form 460), which
13 covered the period of January 1 to October 22, 2011. See Shaista Dec., Exhibit 2. On that Form 460,
14 Respondents reported receiving \$1,000 in contributions. *Id.*

15 On July 19, 2012, during the time-period when the Committee was still actively filing campaign
16 statements, Respondent Buie spoke with Ethics Commission Fines Collection Officer Ernestine Braxton
17 about late fines the Committee had accrued. See Declaration of Ernestine Braxton, ¶ 4. Respondent Buie
18 requested a waiver of \$2,720.00 in late fees because she was new to the duties of treasurer and was
19 handling a family emergency involving her mother during the 2012 election period. *Id.*, Exhibit 4.
20 Respondent Buie produced newspaper articles and travel receipts accounting for time she spent removing
21 her mother from an elder care center where her mother had suffered physical abuse and neglect. *Id.*
22 Executive Director John St. Croix granted Respondent Buie's waiver request for good cause on
23 September 7, 2012. *Id.* ¶ 5, Exhibit 5.

24 On October 25, 2012, Respondents filed their last Form 460 statement covering the reporting
25 period from October 1 to October 20, 2012. See Shaista Dec., Exhibit 3. On that Form 460, Respondent
26 Buie was still identified as the Treasurer for the Committee. *Id.* at p. 1. Respondents reported receiving
27 \$9,570.00 in contributions year to date and making \$13,503.76 in expenditures year to date. *Id.* at Exhibit

1 3, p. 3. Respondents also reported an ending cash balance of \$5,216.51. *Id.* Respondents gave no
2 indication that they were terminating the Committee. To date, Respondents have not terminated the
3 Committee by filing a Terminating Statement Form 410 or filed any other reports indicating whether
4 fundraising or expenditure activity has occurred over the last four years. *See* Shaista Dec. ¶¶ 6-7.

5 Respondents last communicated with Staff in October 2014. At the time, Respondent Buie
6 represented to Staff that she had verbally resigned as the Committee's treasurer in November 2012. Staff
7 advised Respondent Buie that she could not formally resign until she filed a statement of resignation with
8 the Committee. Respondents began working with Staff to obtain records documenting how the Committee
9 wound down its ending cash balance, but Respondent Buie stopped communicating with Staff in August
10 2014.

11 **IV. Summary of Law and Analysis of Evidence**

12 The San Francisco Charter, Appendix C3.699-13(c) authorizes the Commission to hold a public
13 hearing to assess penalties and order remedial relief if, based on substantial evidence, the Commission
14 determines that Respondents have violated the law. The Commission's Enforcement Regulations at
15 Section XII.A.2 further elaborates on the Commission's authority, providing that "a respondent has
16 committed a violation of law only if a person of ordinary caution and prudence would conclude, based on
17 a preponderance of the evidence, that the respondent has committed the violation." For the following
18 reasons, Staff believes a person of ordinary caution and prudence would conclude that Respondents have
19 committed 3 violations of CFRO based on a preponderance of the evidence.

20 **A. Counts 1 through 3: Respondents failed to disclose campaign** 21 **contributions and expenditures by filing required campaign statements.**

22 CFRO requires elected officers, candidates, and committees to file semi-annual statements each
23 year no later than July 31 for the period ending June 30, and no later than January 31 for the period ending
24 December 31 disclosing itemized campaign contributions, expenditures, outstanding debts and cash on
25 hand. CFRO § 1.106. These campaign statements, known as Form 460s, are made immediately available
26 to the public for review upon their filing. San Franciscans demanded the level of disclosure required by
27 CFRO § 1.106 in part because they believed the public had a right to know who was contributing to—and

1 influencing—candidates in real time, during and throughout the election season. CFRO § 1.100. Indeed,
2 the goals set forth in CFRO:

- 3 • to “[p]lace realistic and enforceable limits on the amount individuals may contribute to
4 political campaigns . . . ;”
- 5 • to “[e]nsure that all individuals and interest groups in our city have a fair opportunity
6 to participate in elective and governmental processes;”
- 7 • to “[m]ake it easier for the public, the media and election officials to efficiently review
8 and compare campaign statements by requiring committees that meet certain financial
9 thresholds to file copies of their campaign statements on designated electronic media;”
10 and
- 11 • to “[h]elp restore public trust in governmental and electoral institutions”

12 are impossible to meet if candidates do not comply with reporting and public disclosure requirements in
13 the first instance.

14 A committee is required to continue filing semi-annual statements until it has terminated by filing
15 a Terminating Statement Form 410. Cal. Govt. Code § 84214, FPPC Regulation 18404(b).

16 On October 25, 2012, Respondents reported that the Committee still had \$5,216.51 in cash on
17 hand. Exhibit 3, p. 2. To date, Respondents have not filed any of the required Form 460 Campaign
18 Statements for any reporting period following the Committee’s last filing of October 25, 2012, nor have
19 they terminated the committee by filing a Terminating Statement Form 410. *See* Shaista Dec. ¶¶ 6-7.
20 Accordingly, neither Staff nor the public has any way of knowing whether Respondents legally wound
21 down her campaign, accepted unlawful contributions, continued to fundraise, expended money
22 inappropriately, etc. Three reporting periods passed prior to the Commission’s determination of probable
23 cause in this matter.

1 Accordingly, Respondents committed three separate violations of CFRO § 1.106 as follows:

2 **Count 1.** By failing to file the required semi-annual Form 460 covering the reporting
3 period of October 21 through December 31, 2012, by January 31, 2013, Respondents
4 committed one violation of CFRO § 1.106.¹

5 **Count 2.** By failing to file the required semi-annual Form 460 covering the reporting
6 period of January 1 through June 30, 2013, by July 31, 2013, Respondents committed one
7 violation of CFRO § 1.106.

8 **Count 3.** By failing to file the required semi-annual Form 460 covering the reporting
9 period of July 1 through December 31, 2013, by January 31, 2014, Respondents
10 committed one violation of CFRO § 1.106.

11 **V. Request for Relief**

12 Any person who “intentionally or negligently violates any of the provisions of this Chapter shall
13 be liable in an administrative proceeding before the Ethics Commission held pursuant to the Charter for
14 any penalties authorized therein.” CFRO § 1.170(c). The Political Reform Act makes treasurers—such as
15 Respondent Buie—personally responsible for complying with campaign finance laws: “It shall be the
16 duty of each . . . treasurer . . . to maintain detailed accounts, records, bills, and receipts necessary to
17 prepare campaign statements, to establish that campaign statements were properly filed, and to otherwise
18 comply with the provisions of this chapter.” Cal. Govt. Code § 84104. The San Francisco Charter, at
19 Appendix § C3.699-13(C), authorizes the Commission to issue an order, which may require a person who
20 violates governmental ethics laws to:

- 21 (1) Cease and desist the violation;
- 22 (2) File any reports, statements, or other documents or information required by law; and/or
- 23 (3) Pay a monetary penalty to the general fund of the City of up to \$5,000 for each violation or
24 three times the amount which the person failed to report properly or unlawfully contributed,
25 expended, gave or received, whichever is greater.

26
27 ¹ CFRO § 1.106 incorporates by reference the PRA, Cal. Govt. Code § 84200(a).

1 **A. Staff recommends that the Commission compel Respondents to file missing**
2 **campaign reports and a required termination statement within 30 days of the**
3 **Commission's Final Order.**

4 Pursuant to its authority to compel Respondents to file missing reports, statements, or other
5 documents or information required by law, Staff recommends that the Commission issue an order
6 compelling Respondents to (1) file missing Form 460 Campaign Statements for the reporting periods
7 outlined above; AND (2) file a termination statement, if applicable, within 30 days of the Commission's
8 Final Order.

9 **B. Staff recommends the Commission assess administrative penalties against**
10 **Respondents in the amount of \$3,000.00.**

11 Staff has identified three separate violations of San Francisco's campaign finance laws, for a
12 maximum statutory penalty of \$15,000. The Commission is not required to assess the maximum penalty
13 in every case. When assessing penalties, the Commission must consider all of the relevant circumstances
14 surrounding the case, including but not limited to: (a) the severity of the violation; (b) the presence or
15 absence of any intention to conceal, deceive, or mislead; (c) whether the violation was deliberate,
16 negligent or inadvertent; (d) whether the violation was an isolated incident or part of a pattern; (e)
17 whether the respondent has a prior record of violations of law; and (f) the degree to which the respondent
18 cooperated with the investigation and demonstrated a willingness to remedy any violations. Enforcement
19 Regulations § XII(C)(2). Based on the following assessment, Staff recommends the Commission assess
20 an administrative penalty of \$1,000 per violation, or \$3,000.00, against Respondents.

21 CFRO was designed, in part, to assist voters in making informed electoral decisions and to ensure
22 compliance with campaign contribution limits through the filing of campaign statements detailing the
23 sources of campaign contributions and how those contributions were spent. CFRO § 1.100(b)(8). By
24 failing to file required campaign statements during the years following the election, Respondents
25 infringed on the public's ability to monitor and investigate the Committee's campaign-related activity.
26 Nevertheless, Staff has no evidence that Respondent Buie acted in bad faith. Rather, Respondent Buie was
27 a first-time, volunteer treasurer who was under stress due to a serious family emergency. For these

1 reasons, Executive Director St. Croix waived late fines assessed against the Committee for "good cause."
2 As a practical matter, the Committee only raised and spent approximately \$23,000 during its active
3 period. On average, the 63 active general purpose committees² operating in San Francisco raised and
4 spent approximately \$190,000 per committee in 2012. Respondents' level of activity, therefore, is
5 relatively minor compared to other committees. Staff finds that assessing the maximum penalty would not
6 further the purpose of the law and that mitigating factors merit a reduction to a penalty of \$1,000 per
7 violation.


8 VI. Conclusion

9 Based on the law and evidence presented, Staff requests that the Commission issue a Final Order:

- 10 1. Declaring that Respondents Alpha Buie and the African American Democratic Club
11 committed each violation of CFRO as presented;
- 12 2. Assessing an administrative penalty of \$3,000 (\$1,000 per violation for 3 violations)
13 against Respondents to be paid on or before February 23, 2017;
- 14 3. Compelling Respondents file all three missing campaign statements on or before February
15 23, 2017; and
- 16 4. Compelling Respondents to file a notice of termination on or before February 23, 2017, if
17 applicable.

18 Dated: 1/3/2017

19 Respectfully submitted,

20 
21 _____
22 Milad Dalju, Special Counsel,
23 on behalf of the Enforcement Division
24 of the San Francisco Ethics Commission

25
26 _____
27 ² Staff considered committees "active" if they raised more than \$1,000 during the 2012 calendar year, which was the
28 threshold in 2012 for recipient committee qualification under PRA § 82013(a).

**BEFORE THE ETHICS COMMISSION
CITY AND COUNTY OF SAN FRANCISCO**

In the Matter of

Alpha J. Buie, treasurer, and the African
American Democratic Club,

Respondents.

SFEC NO. 13-131112

**Complainant San Francisco Ethics Commission
Enforcement Division's Administrative Hearing
Brief**

Appendix

1. Notice of Declarant Testimony
2. Declaration of Shaista Shaikh
3. Exhibit 1 – Form 410
4. Exhibit 2 – Form 460
5. Exhibit 3 – Form 460
6. Declaration of Ernestine Braxton
7. Exhibit 4 – Email from Alpha Buie to Ernestine Braxton
8. Exhibit 5 – Fine Waiver
9. Exhibit 6 – Email from Garrett Chatfield to Alpha Buie
10. Accusation, SFEC No. 13-131112
11. Notice of Hearing on the Merits
12. Notice of Probable Cause

1 Milad Dalju, California Bar No. 271364
2 San Francisco Ethics Commission
3 25 Van Ness #220
4 San Francisco, CA 94102
5 (510) 238-4976

6 Attorney for Complainant
7 **San Francisco Ethics Commission Enforcement Division**

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9 **CITY AND COUNTY OF SAN FRANCISCO**

10 In the Matter of
11 Alpha J. Buie, treasurer of the African
12 American Democratic Club,
13 Respondents.

SFEC NO. 13-131112

**Notice Declarant Testimony Pursuant to
California Government Code Section 11514**

14 The attached declarations of Shaista Shaikh and Ernestine Braxton, as well as their
15 attachments, will be introduced as evidence at the hearing in the matter of Ethics Complaint 13-
16 131112, to be held on January 23, 2017. Neither Shaista Shaikh nor Ernestine Braxton will be called
17 to testify orally, and you will not be entitled to question them unless you notify Jessica L. Blome,
18 Enforcement Director of the San Francisco Ethics Commission, at 25 Van Ness Street, Suite 220,
19 San Francisco, California, 94102, that you wish to cross-examine them. To be effective your request
20 must be mailed or delivered to Ms. Blome on or before January 10, 2017.

1 Milad Dalju, California Bar No. 271364
2 San Francisco Ethics Commission
3 25 Van Ness #220
4 San Francisco, CA 94102
5 (510) 238-4976

6 Attorney for Complainant
7 **San Francisco Ethics Commission Enforcement Division**

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9 **CITY AND COUNTY OF SAN FRANCISCO**

10 In the Matter of
11 Alpha J. Buie, treasurer, and the
12 African American Democratic Club,
13 Respondents.

SFEC NO. 13-131112

Declaration of Shaista Shaikh

14 I, Shaista Shaikh, declare as follows:

15 1. I have personal knowledge of the contents of this declaration, and I would testify
16 competently thereto if called upon to do so.

17 2. I am the Assistant Deputy Director of the San Francisco Ethics Commission. I have
18 worked at the San Francisco Ethics Commission since May 1998.

19 3. As Assistant Deputy Director, I oversee the campaign finance program, including the
20 auditing of campaign committees, conducting trainings on campaign finance rules, and the
21 oversight of campaign finance staff. I am familiar with the filing requirements of campaign
22 committees including the filing requirements of the Statement of Organization Recipient
23 Committee Form 410, and the Recipient Committee Campaign Statement Form 460. A Form 410
24 discloses a campaign committee's contact information, how it is formed, its bank information, and
25 the committee's treasurer and/or principal officer. A Form 410 is also required to terminate a
26 committee. A Form 460 discloses a campaign committee's contribution and expenditure activity. I
27 am familiar with the paper and electronic filing of the Form 410 and Form 460. I am also familiar
28 with the legal provisions of the San Francisco Campaign Finance Reform Ordinance.

1 4. The document attached as Exhibit 1 is a true and correct copy of the Statement of
2 Organization Recipient Committee Form 410 filed by the "African American Democratic Club" with
3 the San Francisco Ethics Commission on October 27, 2011.


4 5. The document attached as Exhibit 2 is a true and correct copy of the first Recipient
5 Committee Campaign Statement Form 460 (Form 460) filed by the "African American Democratic
6 Club" with the San Francisco Ethics Commission, and it covered the pre-election period of January 1
7 to October 22, 2011.

8 6. The document attached as Exhibit 3 is a true and correct copy of the last Recipient
9 Committee Campaign Statement Form 460 (Form 460) filed by the "African American Democratic
10 Club" with the San Francisco Ethics Commission, and it covered the pre-election period of October
11 1 to October 20, 2012.

12 7. To date, "African American Democratic Club" has not filed a Terminating Statement
13 Form 410 with the San Francisco Ethics Commission.

14
15 I declare, under penalty of perjury under the laws of the State of California, that the
16 foregoing is true and correct.

17
18
19 DATED: January 3, 2017



Shaista Shaikh
Assistant Deputy Director
San Francisco Ethics Commission

Statement of Organization Recipient Committee

Type or print in ink

ORIGINAL

STATEMENT OF ORGANIZATION

Statement Type Initial

Not yet qualified or

Amendment List I.D. number: # _____

Termination - See Part 5 List I.D. number: # _____

Date qualified as committee 10/19/2011

Date qualified as committee (if applicable) _____

Date of termination _____

FILED
2011 OCT 27 PM 5:21
SAN FRANCISCO
ETHICS COMMISSION

Date Stamp

For Official Use Only
CALIFORNIA 410 FORM



1. Committee Information

NAME OF COMMITTEE
AFRICAN AMERICAN DEMOCRATIC CLUB

STREET ADDRESS (NO P.O. BOX)
[REDACTED]

SAN FRANCISCO, CA

CITY STATE ZIP CODE AREA CODE/PHONE
SAN FRANCISCO, CALIFORNIA 94115 415 786 6003

MAILING ADDRESS (IF DIFFERENT)
GET AVIATE @ADDRESS.COM

OPTIONAL: FAX / E-MAIL ADDRESS

COUNTY OF DOMICILE COUNTY WHERE COMMITTEE IS ACTIVE IF DIFFERENT THAN COUNTY OF DOMICILE
SAN FRANCISCO

2. Treasurer and Other Principal Officers

NAME OF TREASURER
Alpha J. Bui

STREET ADDRESS (NO P.O. BOX)
[REDACTED]

CITY STATE ZIP CODE AREA CODE/PHONE
SSF CA 94082

NAME OF ASSISTANT TREASURER, IF ANY

STREET ADDRESS (NO P.O. BOX)

CITY STATE ZIP CODE AREA CODE/PHONE
CHARLES SPALDIN

NAME OF PRINCIPAL OFFICER(S)
[REDACTED]

STREET ADDRESS (NO P.O. BOX)
SAN FRANCISCO CALIFORNIA 940 44

CITY STATE ZIP CODE AREA CODE/PHONE
415 786 6003

3. Verification

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

Executed on 10/27/11 DATE

Executed on _____ DATE

Executed on _____ DATE

Executed on _____ DATE

By [REDACTED] ASSISTANT TREASURER

By [REDACTED] SIGNATURE OF CONTROLLING OFFICER-HOLDER, CANDIDATE, OR STATE MEASURE PROPONENT

By [REDACTED] SIGNATURE OF CONTROLLING OFFICER-HOLDER, CANDIDATE, OR STATE MEASURE PROPONENT

By [REDACTED] SIGNATURE OF CONTROLLING OFFICER-HOLDER, CANDIDATE, OR STATE MEASURE PROPONENT

EC No. 13-131112

Exhibit 1

FPPC Form 410 (April 2011)
FPPC Toll-Free Helpline: 866/ASK-FPPC (866/275-3772)

Statement of Organization
Recipient Committee

STATEMENT OF ORGANIZATION

CALIFORNIA
FORM
410

INSTRUCTIONS ON REVERSE

Page 3

I.D. NUMBER

COMMITTEE NAME

AFRICAN AMERICAN DEMOCRATIC CLUB

4. Type of Committee (Continued)

General Purpose Committee

Not formed to support or oppose specific candidates or measures in a single election. Check only one box:

CITY Committee

COUNTY Committee

STATE Committee

PROVIDE BRIEF DESCRIPTION OF ACTIVITY

AFRICAN AMERICAN POLITICAL EDUCATION AND VOTER REGISTRATION

Sponsored Committee

List additional sponsors on an attachment.

NAME OF SPONSOR

INDUSTRY GROUP OR AFFILIATION OF SPONSOR

STREET ADDRESS

NO. AND STREET

CITY

STATE

ZIP CODE

Small Contributor Committee

Date qualified

5. Termination Requirements

By signing the verification, the treasurer, assistant treasurer and/or candidate, officeholder, or proponent certify that all of the following conditions have been met:

- This committee has ceased to receive contributions and make expenditures;
- This committee does not anticipate receiving contributions or making expenditures in the future;
- This committee has eliminated or has no intention or ability to discharge all debts, loans received, and other obligations;
- This committee has no surplus funds; and
- This committee has filed all campaign statements required by the Political Reform Act disclosing all reportable transactions.
 - There are restrictions on the disposition of surplus campaign funds held by elected officers who are leaving office and by defeated candidates. Refer to Government Code Section 89519.
 - Leftover funds of ballot measure committees may be used for political, legislative or governmental purposes under Government Code Sections 89511 - 89518, and are subject to Elections Code Section 18680 and FPPC Regulation 18521.5.

**Recipient Committee
Campaign Statement
Cover Page**

(Government Code Sections 84200-84216.5)

ORIGINAL

Type or print in ink.

COVER PAGE

Statement covers period from <u>11/1/2011</u> through <u>10/22/2011</u>	Date of election if applicable (Month, Day, Year) <u>10 OCT 27 PM 5:21</u>	Date Stamp FILED SAN FRANCISCO ETHICS COMMISSION	CALIFORNIA FORM 460
			Page _____ of _____ For Official Use Only

SEE INSTRUCTIONS ON REVERSE

1. Type of Recipient Committee: All Committees - Complete Parts 1, 2, 3, and 4.

Officeholder, Candidate Controlled Committee

State Candidate Election Committee

Recall
(Also Complete Part 5)

General Purpose Committee

Sponsored

Small Contributor Committee

Political Party/Central Committee

Primarily Formed Ballot Measure Committee

Controlled

Sponsored
(Also Complete Part 6)

Primarily Formed Candidate/Officeholder Committee
(Also Complete Part 7)

2. Type of Statement: received by 5pm 11

Pre-election Statement

Semi-annual Statement

Termination Statement
(Also file a Form 410 Termination)

Amendment (Explain below)

Quarterly Statement

Special Odd-Year Report

Supplemental Pre-election Statement - Attach Form 495

3. Committee Information

COMMITTEE NAME (OR CANDIDATE'S NAME IF NO COMMITTEE)
ARMED AMERICANS DONOR GRANT CLUB

I.D. NUMBER _____

Treasurer(s)

NAME OF TREASURER
ALPHA J. BURE

MAILING ADDRESS _____

STREET ADDRESS (NO P.O. BOX)
[REDACTED]

CITY _____ STATE _____ ZIP CODE _____ AREA CODE/PHONE _____

CITY _____ STATE _____ ZIP CODE _____ AREA CODE/PHONE _____

MAILING ADDRESS (IF DIFFERENT NO. AND STREET OR P.O. BOX)
SUTRUISO CALISTOBA CA 94115

NAME OF ASSISTANT TREASURER, IF ANY
[REDACTED]

CITY _____ STATE _____ ZIP CODE _____ AREA CODE/PHONE _____

MAILING ADDRESS _____

CITY _____ STATE _____ ZIP CODE _____ AREA CODE/PHONE _____

OPTIONAL: FAX / E-MAIL ADDRESS _____

4. Verification

I have used all reasonable diligence in preparing and reviewing this statement and to under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on 10/27/2011 Date

By _____

Signature of Controlling Officer/holder, Candidate, State Measure Proponent or Responsible Officer of Sponsor
[REDACTED]

Signature of Controlling Officer/holder, Candidate, State Measure Proponent
[REDACTED]

Signature of Controlling Officer/holder, Candidate, State Measure Proponent
[REDACTED]

FPPC Form 460 (January/05)
FPPC Toll-Free Helpline: 866/ASK-FPPC (866/275-3772)
State of California

EC No. 13-131112

Exhibit 2

Campaign Disclosure Statement Summary Page

Type or print in ink.
Amounts may be rounded
to whole dollars.

SUMMARY PAGE

Statement covers period

from _____ through _____

Page _____ of _____

CALIFORNIA FORM 460

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

CHARLES SPALDE

I.D. NUMBER

Contributions Received

	Column A TOTAL THIS PERIOD (FROM ATTACHED SCHEDULES)	Column B CALENDAR YEAR TOTAL TO DATE
1. Monetary Contributions	Schedule A, Line 3 \$ <u>1,000</u>	\$ _____
2. Loans Received	Schedule B, Line 3 \$ _____	\$ _____
3. SUBTOTAL CASH CONTRIBUTIONS	Add Lines 1 + 2 \$ <u>1,000</u>	\$ _____
4. Nonmonetary Contributions	Schedule C, Line 3 \$ _____	\$ _____
5. TOTAL CONTRIBUTIONS RECEIVED	Add Lines 3 + 4 \$ <u>1,000</u>	\$ _____

Expenditures Made

6. Payments Made	Schedule E, Line 4 \$ _____	\$ _____
7. Loans Made	Schedule H, Line 3 \$ _____	\$ _____
8. SUBTOTAL CASH PAYMENTS	Add Lines 6 + 7 \$ _____	\$ _____
9. Accrued Expenses (Unpaid Bills)	Schedule F, Line 3 \$ _____	\$ _____
10. Nonmonetary Adjustment	Schedule C, Line 3 \$ _____	\$ _____
11. TOTAL EXPENDITURES MADE	Add Lines 8 + 9 + 10 \$ _____	\$ _____

Current Cash Statement

12. Beginning Cash Balance	Previous Summary Page, Line 16 \$ <u>1,000</u>	\$ _____
13. Cash Receipts	Column A, Line 3 above \$ <u>1,000</u>	\$ _____
14. Miscellaneous Increases to Cash	Schedule I, Line 4 \$ _____	\$ _____
15. Cash Payments	Column A, Line 8 above \$ <u>1,000</u>	\$ _____
16. ENDING CASH BALANCE	Add Lines 12 + 13 + 14, then subtract Line 15	\$ _____

If this is a termination statement, Line 16 must be zero.

17. LOAN GUARANTEES RECEIVED

Schedule B, Part 2	\$ _____
--------------------	----------

Cash Equivalents and Outstanding Debts

18. Cash Equivalents	See instructions on reverse	\$ _____
19. Outstanding Debts	Add Line 2 + Line 9 in Column B above	\$ _____

Calendar Year Summary for Candidates Running in Both the State Primary and General Elections

20. Contributions Received	\$ _____	1/1 through 6/30	7/1 to Date
21. Expenditures Made	\$ _____		

Expenditure Limit Summary for State Candidates

22. Cumulative Expenditures Made*	Total to Date
(If Subject to Voluntary Expenditure Limit)	
Date of Election (mm/dd/yy)	____/____/____
	\$ _____

*Amounts in this section may be different from amounts reported in Column B.

Schedule A
Monetary Contributions Received

Type or print in ink.
Amounts may be rounded
to whole dollars.

SCHEDULE A

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

ARLES SPALLER

Statement covers period
from _____
through _____

CALIFORNIA
FORM
460
Page _____ of _____
I.D. NUMBER

DATE RECEIVED	FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE ALSO ENTER ID NUMBER)	CONTRIBUTOR CODE *	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	AMOUNT RECEIVED THIS PERIOD	CUMULATIVE TO DATE CALENDAR YEAR (JAN. 1 - DEC. 31)	PER ELECTION TO DATE (IF REQUIRED)
10/19/11	DOEK TOR DISTRICT ATTORNEY 20	<input checked="" type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC	DAVID DOEK	250 ⁰⁰	250 ⁰⁰	
10/19/11	NOVIO, DA 94949 JOSEPH J TRACCO DEAN SCHMIDT	<input checked="" type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC	JOSEPH J TRACCO PELBY SCHMIDT	250 ⁰⁰	250 ⁰⁰	
10/21/11	PORTOLIA Valley, CA 94028 BENNY DOTY TOR MAYOR ZELL SAN FRANCISCO, CA 94117	<input checked="" type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC		500 ⁰⁰	500 ⁰⁰	
SUBTOTAL \$						

Schedule A Summary

- Amount received this period - itemized monetary contributions. (Include all Schedule A subtotals.) \$ 1,000
- Amount received this period - unitemized monetary contributions of less than \$100 \$ 1,000
- Total monetary contributions received this period. (Add Lines 1 and 2. Enter here and on the Summary Page, Column A, Line 1.) **TOTAL \$** 2,000

*Contributor Codes
IND - Individual
COM - Recipient Committee
(other than PTY or SCC)
OTH - Other (e.g., business entity)
PTY - Political Party
SCC - Small Contributor Committee

FPPC Form 460 (January/05)
FPPC Toll-Free Helpline: 866/ASK-FPPC (866/275-5772)

EC No. 13-131112

Exhibit 2

**Recipient Committee
Campaign Statement
Cover Page**

(Government Code Sections 84200-84216.5)

Type or print in ink.

E-filed on: 10/25/2012 14:09:51

COVER PAGE

Date Stamp		CALIFORNIA FORM 460
Statement covers period from 10/01/2012 through 10/20/2012	Date of election if applicable: (Month, Day, Year) 11/06/2012	

SEE INSTRUCTIONS ON REVERSE

1. Type of Recipient Committee: All Committees - Complete Parts 1, 2, 3, and 4.

- Officeholder, Candidate Controlled Committee
- State Candidate Election Committee
- Recall *(Also Complete Part 5)*
- General Purpose Committee
- Sponsored
- Small Contributor Committee
- Political Party/Central Committee
- Primarily Formed Ballot Measure Committee
- Controlled *(Also Complete Part 5)*
- Sponsored *(Also Complete Part 6)*
- Primarily Formed Candidate/Officeholder Committee *(Also Complete Part 7)*

2. Type of Statement:

- Preelection Statement
- Semi-annual Statement
- Termination Statement *(Also file a Form 410 Termination)*
- Amendment *(Explain below)*
- Quarterly Statement
- Special Odd-Year Report
- Supplemental Preelection Statement - Attach Form 495

3. Committee Information

COMMITTEE NAME (OR CANDIDATE'S NAME IF NO COMMITTEE)
 African American Democratic Club

I.D. NUMBER
981476

Treasurer(s)

NAME OF TREASURER
Alpha Buie
 MAILING ADDRESS

STREET ADDRESS (NO P.O. BOX)

CITY STATE ZIP CODE AREA CODE/PHONE
 San Francisco CA 94115 (415) 267-3921

MAILING ADDRESS (IF DIFFERENT) NO. AND STREET OR P.O. BOX

CITY STATE ZIP CODE AREA CODE/PHONE
 San Francisco CA 94188

OPTIONAL: FAX / E-MAIL ADDRESS

getactive@aadcfsf.com

CITY STATE ZIP CODE AREA CODE/PHONE
 San Francisco CA 94124 (415) 824-8012

NAME OF ASSISTANT TREASURER, IF ANY

MAILING ADDRESS

CITY STATE ZIP CODE AREA CODE/PHONE

OPTIONAL: FAX / E-MAIL ADDRESS

4. Verification

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

Executed on 10/25/2012

Executed on _____

Executed on _____

Executed on _____

By _____
 Signature of Treasurer or Assistant Treasurer

By _____
 Signature of Controlling Officeholder, Candidate, State Measure Proponent or Responsible Officer of Sponsor

By _____
 Signature of Controlling Officeholder, Candidate, State Measure Proponent

By _____
 Signature of Controlling Officeholder, Candidate, State Measure Proponent

EC No. 13-131112

Exhibit 3

Type or print in ink.

COVER PAGE - PART 2

Recipient Committee Campaign Statement Cover Page — Part 2

CALIFORNIA
FORM **460**

Page 2 of 5

5. Officeholder or Candidate Controlled Committee

NAME OF OFFICEHOLDER OR CANDIDATE _____

OFFICE SOUGHT OR HELD (INCLUDE LOCATION AND DISTRICT NUMBER IF APPLICABLE) _____

RESIDENTIAL/BUSINESS ADDRESS (NO. AND STREET) _____ CITY _____ STATE _____ ZIP _____

Related Committees Not Included in this Statement: *List any committees not included in this statement that are controlled by you or are primarily formed to receive contributions or make expenditures on behalf of your candidacy.*

COMMITTEE NAME	I.D. NUMBER
NAME OF TREASURER	CONTROLLED COMMITTEE? <input type="checkbox"/> YES <input type="checkbox"/> NO
COMMITTEE ADDRESS	STREET ADDRESS (NO P.O. BOX)
CITY	STATE ZIP CODE AREA CODE/PHONE
COMMITTEE NAME	I.D. NUMBER
NAME OF TREASURER	CONTROLLED COMMITTEE? <input type="checkbox"/> YES <input type="checkbox"/> NO
COMMITTEE ADDRESS	STREET ADDRESS (NO P.O. BOX)
CITY	STATE ZIP CODE AREA CODE/PHONE

6. Primarily Formed Ballot Measure Committee

NAME OF BALLOT MEASURE _____

BALLOT NO. OR LETTER	JURISDICTION	<input type="checkbox"/> SUPPORT <input type="checkbox"/> OPPOSE
----------------------	--------------	---

Identify the controlling officeholder, candidate, or state measure proponent, if any.
NAME OF OFFICEHOLDER, CANDIDATE, OR PROponent _____

OFFICE SOUGHT OR HELD _____ DISTRICT NO. IF ANY _____

7. Primarily Formed Candidate/Officeholder Committee

List names of officeholder(s) or candidate(s) for which this committee is primarily formed.

NAME OF OFFICEHOLDER OR CANDIDATE	OFFICE SOUGHT OR HELD	<input type="checkbox"/> SUPPORT <input type="checkbox"/> OPPOSE
NAME OF OFFICEHOLDER OR CANDIDATE	OFFICE SOUGHT OR HELD	<input type="checkbox"/> SUPPORT <input type="checkbox"/> OPPOSE
NAME OF OFFICEHOLDER OR CANDIDATE	OFFICE SOUGHT OR HELD	<input type="checkbox"/> SUPPORT <input type="checkbox"/> OPPOSE
NAME OF OFFICEHOLDER OR CANDIDATE	OFFICE SOUGHT OR HELD	<input type="checkbox"/> SUPPORT <input type="checkbox"/> OPPOSE

Attach continuation sheets if necessary

**Campaign Disclosure Statement
Summary Page**

Type or print in ink.
Amounts may be rounded
to whole dollars.

STATEMENT PERIOD
from 10/01/2012 through 10/20/2012

STATEMENT COVERS PERIOD
from 10/01/2012 through 10/20/2012

CALIFORNIA FORM 460

Page 3 of 5

I.D. NUMBER 981476

SEE INSTRUCTIONS ON REVERSE
NAME OF FILER
African American Democratic Club

Contributions Received

	Column A TOTAL THIS PERIOD (FROM ATTACHED SCHEDULES)	Column B CALENDAR YEAR TOTAL TO DATE
1. Monetary Contributions	Schedule A, Line 3 \$ 845.00	\$ 9,570.00
2. Loans Received	Schedule B, Line 3 \$ 0.00	\$ 0.00
3. SUBTOTAL CASH CONTRIBUTIONS	Add Lines 1 + 2 \$ 845.00	\$ 9,570.00
4. Nonmonetary Contributions	Schedule C, Line 3 \$ 0.00	\$ 0.00
5. TOTAL CONTRIBUTIONS RECEIVED	Add Lines 3 + 4 \$ 845.00	\$ 9,570.00

Expenditures Made

6. Payments Made	Schedule E, Line 4 \$ 174.99	\$ 13,503.76
7. Loans Made	Schedule H, Line 3 \$ 0.00	\$ 0.00
8. SUBTOTAL CASH PAYMENTS	Add Lines 6 + 7 \$ 174.99	\$ 13,503.76
9. Accrued Expenses (Unpaid Bills)	Schedule F, Line 3 \$ 0.00	\$ 0.00
10. Nonmonetary Adjustment	Schedule G, Line 3 \$ 0.00	\$ 0.00
11. TOTAL EXPENDITURES MADE	Add Lines 8 + 9 + 10 \$ 174.99	\$ 13,503.76

Current Cash Statement

12. Beginning Cash Balance	Previous Summary Page, Line 16 \$ 4,546.50	
13. Cash Receipts	Column A, Line 3 above \$ 845.00	
14. Miscellaneous Increases to Cash	Schedule I, Line 4 \$ 0.00	
15. Cash Payments	Column A, Line 8 above \$ 174.99	
16. ENDING CASH BALANCE	Add Lines 12 + 13 + 14, then subtract Line 15 \$ 5,216.51	

If this is a termination statement, Line 16 must be zero.

17. LOAN GUARANTEES RECEIVED

Cash Equivalents and Outstanding Debts

18. Cash Equivalents

19. Outstanding Debts

EC No. 13-131112

Exhibit 3

**Calendar Year Summary for Candidates
Running in Both the State Primary and
General Elections**

1/1 through 6/30 7/1 to Date

20. Contributions Received \$ _____ \$ _____

21. Expenditures Made \$ _____ \$ _____

**Expenditure Limit Summary for State
Candidates**

22. Cumulative Expenditures Made*
(If Subject to Voluntary Expenditure Limit)

Date of Election (mm/dd/yy) _____ Total to Date \$ _____

*Amounts in this section may be different from amounts reported in Column B.

To calculate Column B, add amounts in Column A to the corresponding amounts from Column B of your last report. Some amounts in Column A may be negative figures that should be subtracted from previous period amounts. If this is the first report being filed for this calendar year, only carry over the amounts from Lines 2, 7, and 9 (if any).

**Schedule A
Monetary Contributions Received**

Type or print in ink.
Amounts may be rounded
to whole dollars.

SCHEDULE A

**CALIFORNIA 460
FORM**

Statement covers period

from 10/01/2012

through 10/20/2012

Page 4 of 5

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

African American Democratic Club

I.D. NUMBER

981476

DATE RECEIVED	FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CONTRIBUTOR CODE *	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	AMOUNT RECEIVED THIS PERIOD	CUMULATIVE TO DATE CALENDAR YEAR (JAN. 1 - DEC. 31)	PERELECTION TO DATE (IF REQUIRED)
10/02/2012	Anita Greer San Francisco CA 94132	<input checked="" type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC	Administrator City Of San Francisco	\$100.00	\$100.00	
10/04/2012	Rafael Mandelman San Francisco CA 94114	<input checked="" type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC	City Administrator CC SF	\$200.00	\$200.00	
10/05/2012	Kim Garcia Meza San Francisco CA 94109	<input checked="" type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC	Pending Pending	\$200.00	\$200.00	
10/10/2012	Sandra Fewer San Francisco CA 94111-4007	<input checked="" type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC	Pending Pending	\$200.00	\$200.00	
10/12/2012	Gladys Soto San Francisco CA 94112	<input checked="" type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC	Pending Pending	\$100.00	\$100.00	
SUBTOTAL \$				\$800.00		

Schedule A Summary

1. Amount received this period - itemized monetary contributions.
(Include all Schedule A subtotals.) \$ 800.00

2. Amount received this period - unitemized monetary contributions of less than \$100 \$ 45.00

3. Total monetary contributions received this period.
(Add Lines 1 and 2. Enter here and on the Summary Page, Column A, Line 1.) **TOTAL \$** 845.00

*Contributor Codes
IND - Individual
COM - Recipient Committee
(other than PTY or SCC)
OTH - Other (e.g., business entity)
PTY - Political Party
SCC - Small Contributor Committee

**Schedule E
Payments Made**

Type or print in ink.
Amounts may be rounded
to whole dollars.

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER
African American Democratic Club

Statement covers period
from 10/01/2012
through 10/20/2012

Page 5 of 5
I.D. NUMBER
981476

CODES: If one of the following codes accurately describes the payment, you may enter the code. Otherwise, describe the payment.

- CAP campaign paraphernalia/misc.
- CNS campaign consultants
- CTB contribution (explain nonmonetary)*
- CVC civic donations
- FL candidate filing/ballot fees
- FND fundraising events
- IND independent expenditure supporting/opposing others (explain)*
- LEG legal defense
- LT campaign literature and mailings
- MBR member communications
- MTG meetings and appearances
- OFC office expenses
- PET petition circulating
- PHO phone banks
- POL polling and survey research
- POS postage, delivery and messenger services
- PRO professional services (legal, accounting)
- PRT print ads
- RAD radio airtime and production costs
- RFD returned contributions
- SAL campaign workers' salaries
- TEL tv. or cable airtime and production costs
- TRC candidate travel, lodging, and meals
- TRS staff/spouse travel, lodging, and meals
- TSF transfer between committees of the same candidate/sponsor
- VOT voter registration
- WEB information technology costs (internet, e-mail)

NAME AND ADDRESS OF PAYEE (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CODE	OR	DESCRIPTION OF PAYMENT	AMOUNT PAID
Charles Spencer Pacifica CA 94044			Reimbursement for refreshments for candidates forum	\$174.99
SUBTOTAL \$				\$174.99

* Payments that are contributions or independent expenditures must also be summarized on Schedule D.

Schedule E Summary

1. Itemized payments made this period: (Include all Schedule E subtotals.) \$ 174.99
2. Unitemized payments made this period of under \$100 \$ 0.00
3. Total interest paid this period on loans: (Enter amount from Schedule B, Part 1, Column (e).) \$ 0.00
4. Total payments made this period: (Add Lines 1, 2, and 3. Enter here and on the Summary Page, Column A, Line 6.) **TOTAL \$** 174.99

EC No. 13-131112

Exhibit 3

1 Milad Dalju, California Bar No. 271364
2 San Francisco Ethics Commission
3 25 Van Ness #220
4 San Francisco, CA 94102
5 (510) 238-4976

6 Attorney for Complainant
7 **San Francisco Ethics Commission Enforcement Division**

8 **BEFORE THE ETHICS COMMISSION**
9 **CITY AND COUNTY OF SAN FRANCISCO**

10 In the Matter of
11 Alpha J. Buie, treasurer, and the
12 African American Democratic Club,
13 Respondents.

SFEC NO. 13-131112

Declaration of Ernestine Braxton

14 I, Ernestine Braxton, declare as follows:

15 1. I have personal knowledge of the contents of this declaration, and I would testify
16 competently thereto if called upon to do so.

17 2. I am the Fines Collection Officer for the San Francisco Ethics Commission. I have
18 worked at the San Francisco Ethics Commission in this role since 2010.

19 3. As Fines Collection Officer, I am responsible for assessing late fees against
20 committees and candidates who file their campaign statements after California's Fair Political
21 Practice Commission's deadlines. In addition to assessing late fees, I notify filers when late fees
22 are owed, track payments, and consider requests for waivers or reductions of late fees owed
23 pursuant to the San Francisco Ethics Commission's waiver policies. The Executive Director
24 reviews my decisions and either approves or rejects them.

25 4. On July 13, 2012, I notified Alpha Buie, treasurer for the African American
26 Democratic Club, that she owed \$1,260.00 in late fees for filing three Form 460 Campaign
27 Statements late. On July 19, 2012, Ms. Buie contacted me by telephone to explain that her 89-
28

1 year-old mother was physically assaulted by her caretaker at an elder care home in Memphis,
2 Tennessee. As a result, Ms. Buie travelled to Memphis on at least three occasions during 2012
3 to assist her mother. Ms. Buie produced travel receipts and a newspaper article to corroborate
4 her mother's abuse, and she requested a complete waiver of late fees owed for "good cause."
5 See Exhibit 4, a true and correct copy of Alpha Buie's emailed waiver request. Ms. Buie also
6 explained that she was a volunteer treasurer who was participating in her first election season,
7 so she had never filed a campaign statement before and was unfamiliar with the practice.

8 5. I met with Ms. Buie in August 2012 at the San Francisco Ethics Commission
9 office, 25 Van Ness Avenue in San Francisco. Shortly thereafter, Executive Director John St.
10 Croix granted Respondent Buie's waiver request for good cause on September 7, 2012. See
11 Exhibit 5, a true and correct copy of the letter from John St. Croix granting Ms. Buie's waiver
12 request. In total, the Ethics Commission waived \$2,720 in late fines against Ms. Buie and the
13 African American Democratic Club for good cause.

14 I declare, under penalty of perjury under the laws of the State of California, that the
15 foregoing is true and correct.

16
17
18 DATED: January 3, 2017

s/ Ernestine Braxton
Ernestine Braxton
Fines Collection Officer
San Francisco Ethics Commission

From: Alpha Buie <alphabuie@sbcglobal.net>
To: ernestine.braxton@sfgov.org

Date: Thursday, July 19, 2012 05:59PM
Subject: Notice of Late Fee

Dear Ms. Braxton,

Per our conversation today I am writing to request a waiver of penalties and late filing fees.

I am relatively new to the position of Treasurer for the African American Democratic Club (A.A.D.C.) and to the process of the filing requirements for the Ethics Commission.

Prior to me having the opportunity to attend the necessary training for my position as Treasurer, and to become familiar with the reporting requirements and filing mandates, I encountered a family emergency which required me to travel out of the state.

Since I assumed the office as Treasurer for A.A.D.C., I have had some serious family issues that have required a great deal of travel as well as a great deal of my time. This has interfered with my ability focus on my obligation to the club as its treasurer, and my obligation to maintain up to date mandatory filings with the Ethics Commission.

As I stated today, my 89 year old mother, a victim of Alzheimer's, was being physically assaulted by her caretaker. As a result, it was necessary for me to take the time to assist with arranging for her to get proper care and to ensure that I was on hand to answer any necessary questions for the investigating authorities.

As I mentioned during our conversation today, it is truly not my intent to cast any negative dispersion upon the club by any deliberate act of failure to comply with the filing requirements. Thank you in advance for your consideration.

Alpha J. Buie, Treasurer
African American Democratic Club



Caregiver Accused of Slapping, Cursing at Elderly

FAST FACTS:

- A caregiver is charged with elderly abuse, neglect or exploitation.
- She is accused of slapping, dragging, and cursing at an elderly woman in her care.
- Experts say this type of abuse happens all too often.

natasha.chen@wreg.com

Twitter: NChen_WREG3

Facebook.com/NatashaChenReports

(Memphis, TN 2/15/12) A caregiver has been arrested for allegedly dragging, slapping, and cursing at an elderly woman in her care.

Sixty-four-year-old Mary Sims was released Tuesday on a \$2,500 bond, charged with elderly abuse, neglect or exploitation.

A police report states Sims was dropping off 88-year-old Willie Bowie, who has dementia, at the Goodwill Senior Center on Friday morning.

Center staff told police they observed Bowie's caregiver trying to get Bowie out of the car.

The report states two staff members witnessed Sims pulling Bowie by the scarf around her neck and cussing at her while trying to drag her from the car.

Witnesses told police they saw Sims slap Bowie across the right side of her face, and continued to drag Bowie from the car by her legs and clothes. They heard Sims say "get your a-- out of the car."

In the process, Bowie's hat fell off. She tried to retrieve it, and Sims allegedly pushed the back of Bowie's head toward the ground, telling her to "hurry up and pick up your d — hat."

Police say Bowie did not have any signs of injuries, but that she was unable to give a statement on what happened because of her dementia.

Abuse of those who cannot speak for themselves infuriates Mark Geller, an attorney who represents elderly victims' families.

"That's one of the classic signs of somebody that goes through a pattern of abuse," Geller said of Sims' arrest. He said the impatience described in the report suggests to him this behavior has happened before.

He said families should look for warning signs.

"Torn clothing, if the elderly person has an odor of feces or urine on them, which shows that they're not being taken care of...if they have dry or parched lips, which means they're not being fed."

Any suspected abuse should be reported to a hotline at the Tennessee Department of Health: 1-888-277-8366.

Geller also suggests families can research nurses or caregivers before hiring them, on the Department of Health and Medicare websites.

Geller said elderly abuse is under-reported, and yet he is still overwhelmed with 100 daily calls about elderly abuse.

August 2012

M	T	W	T	F	S	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		

< Jul

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YOU ARE HERE: Home / MARY SIMS

MARY SIMS

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Offender Name: MARY SIMS
Arrested On: 02/13/2012 11:14AM
Booking ID: 12201426
Charge:

- ADULT ABUSE/NEGLECT/EXPLOITATION

DOB: 05/06/1947
Age: 64
Sex: F
Race: black
Previous Mugshot: TRAVIS JOHNSON
Next Mugshot: DWIGHT LEATHERWOOD

Arrest Locations

We offer mugshots from the following states:

- Alabama
- Arizona
- Arkansas
- California
- Colorado
- Florida
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- Idaho
- Indiana
- Iowa
- Kansas
- Kentucky
- Louisiana

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Maine

Michigan

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Mississippi

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North Carolina

Ohio

Oklahoma

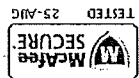
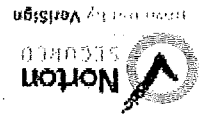
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Pennsylvania

South Carolina

Tennessee

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Delete Reply Forward Spam Move...

- Folders: Inbox (5226), Drafts (4), Sent, Spam (28) [Empty], Trash [Empty], My Photos, My Attachments

Fwd: Virgin America Reservation COSSGX "Christopher Moore" <christopher.moore@virginamerica.com> Ican-1990@sbcglobal.net

Wednesday, August 1, 2012 3:36 PM

Hi Alpha, My apologies, but I mistakenly typed "@sbcglobal.com" in your reservation. I have since corrected the error. Have a great trip! Best regards, Chris

Available

Forwarded message From: Virgin America <info@fly.virginamerica.com> Date: Wed, Aug 1, 2012 at 3:34 PM Subject: Virgin America Reservation COSSGX To: christopher.moore@virginamerica.com

My Folders [Add - Edit] ICAN - POYC Synced Message... (2)

Virgin America Reservation



- Book Flights Check-In Change Flight Cancel Flight Flight Status

Booking Confirmation. Ready. Set. Fly.

Hi, Here's your flight itinerary. Please retain this confirmation code to reference your booking. We look forward to seeing you onboard.

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Would You Go Back To School? If You Qualified For A Grant? See If You Qualify! PICK YOUR AGE 33 See Degrees Now

Your Confirmation Code: COSSGX

Who's Flying

Table with 3 columns: Traveler(s), Frequent Flyer #, Seats. Row: Alpha Bule, 13D,4C,9C,4C

Where You're Going

Table with 5 columns: Date, Flight, From, To, Stops. Rows for flights on 02-Aug-2012, 03-Aug-2012, 03-Aug-2012, 06-Aug-2012

Traveler Contact

Alpha Bule

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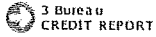
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What's New? Mobile Mail Options

Check Mail Now

Mail Search

Monday, August 13, 2012 7:38 AM



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Mail Accounts

ican.youthclub.com sbcglobal.net

Hotwire Flight Purchase Confirmation - A. Bule Memphis 08/31/12 "Hotwire Customer Care" <support@hotwire.com> alphabule@sbcglobal.net 1 File (540b)

Monday, August 13, 2012 7:38 AM

Folders

- Inbox (31604)
- Drafts (46)
- Sent
- Spam (2685) [Empty]
- Trash [Empty]

image001

No virus threat detected File: image001 Download File



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Hotwire

Delta Air Lines confirmation code: GAGTFV - Your flight is confirmed. Hotwire Itinerary: 9846334748

Dear Alpha,

Thank you for booking your travel with Hotwire. Please note that all bookings are final and no changes or refunds are allowed. We've saved this information in your account. To view this saved information or print a single page receipt for your trip, sign in to your account. You do not need to reconfirm with the airline(s) or Hotwire.

For your trip:

- Print this page and take it with you when traveling. You have an e-ticket and will not receive a paper ticket.
- Before your flight, check in with the airline to obtain a boarding pass.
- Additional fees may apply for baggage. For information about seat assignments, baggage fees, or special requests, check the airline's site.

Trip Details



Flight 4771, departs at 9:53 AM

Hotwire Hot Rate All flight times are local



From: San Francisco, CA(SFO)
 Map
 Departs: Fri, Aug 31, 2012 at 9:53 AM
 To: Los Angeles, CA(LAX)
 Arrives: 11:20 AM on Fri, Aug 31, 2012 (1hr 27min)
 Layover: Los Angeles (0hr 55min)



Delta Air Lines (Operated by SKYWEST DBA DELTA CONNECTION) Canadair Regional Jet 700
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 Baggage fee policy

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Flight 2020, departs at 12:15 PM

From: Los Angeles, CA(LAX)
 Map
 Departs: Fri, Aug 31, 2012 at 12:15 PM
 To: Memphis, TN(MEM)
 Arrives: 6:01 PM on Fri, Aug 31, 2012 (3hr 46min)



Delta Air Lines Airbus A320
 Check flight status

Contact information

Flight
 Delta Air Lines
 1-800-221-1212
 Confirmation code: GAGTFV

Total trip time: 6hr 8min



Flight 3547, departs at 8:15 AM

From: Memphis, TN(MEM)
 Map
 Departs: Mon, Sep 3, 2012 at 8:15 AM
 To: Salt Lake City, UT(SLC)
 Arrives: 10:30 AM on Mon, Sep 3, 2012 (3hr 15min)
 Layover: Salt Lake City (0hr 55min)



Delta Air Lines (Operated by Pinnacle DBA DELTA CONNECTION) Canadair Regional Jet 900
 Check flight status
 Baggage fee policy

You do not need to reconfirm your booking with the airline(s) or Hotwire.

Allianz Global Assistance Travel Protection
 1-800-771-1281

Hotwire Customer Care
 Hotwire Itinerary:
 9846334748

On our site View Help Center

By email

Flight 2375, departs at 11:25 AM

From: Salt Lake City, UT(SLC)
Departs: Mon, Sep 3, 2012 at 11:25 AM

To: San Francisco, CA(SFO)
Map
Arrives: 12:28 PM on Mon, Sep 3, 2012 (2hr 3min)



Delta Air Lines
Boeing 737-800
Check flight status

support@hotwire.com

By phone - anytime
U.S./Canada toll free
1-866-HOTWIRE
(1-866-468-9473)

Outside U.S./Canada
1-417-520-1680
(toll charges apply)

Total trip time: 6hr 13min

Passenger name: Alpha J Buie
Ticket number: 0067124838051



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- Bring a government-issued photo ID (e.g., driver's license, passport). You will need this to check-in. Please note that only ticketed passengers will be permitted through the security checkpoint.
- We recommend that you check the status of your flight with the airline on the date of travel.
- View standard airline ticket notices here.
- You can still insure against expenses should you be required to cancel or interrupt your trip due to medical or other covered reasons affecting yourself or family members. Buy Trip Protection with Allianz Global Assistance, a Hotwire partner.

Booking rules

- All bookings are final. No changes or refunds are allowed. Review our Terms of Use for more information.

Summary of charges

Round-trip ticket:	\$324.00
Passengers:	1
Booking fee:	\$0.00
Subtotal:	\$324.00

Trip total: \$324.00

Billed to: Alpha J Buie
 Contact phone: (650) 872-1617
 Contact email: alphabuie@sbcglobal.net
 Charged to: MasterCard*****3167
 Date booked: Mon, Aug 13, 2012

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Friday, May 4, 2012 9:08 PM

3 Bureau CREDIT REPORT

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Hotwire Flight Purchase Confirmation - A. Bule Memphis 05/10/12

Friday, May 4, 2012 9:08 PM

ican-youthclub.com sbcglobal.net

"Hotwire Customer Care" <support@hotwire.com> alphabule@sbcglobal.net 1 File (540b)

Folders

- Inbox (31600) Drafts (46) Sent Spam (2685) [Empty] Trash [Empty]

image001

Hotwire

Delta Air Lines confirmation code: G4I4TB - Your flight is confirmed. Hotwire Itinerary: 8042591685

Dear Alpha,

Thank you for booking your travel with Hotwire. Please note that all bookings are final and no changes or refunds are allowed. We've saved this information in your account. To view this saved information or print a single page receipt for your trip, sign in to your account. You do not need to reconfirm with the airline(s) or Hotwire.

For your trip:

- 1 Print this page and take it with you when traveling. You have an e ticket. You will not receive a paper ticket.
2 Before your flight, check in with the airline to obtain a boarding pass.
3 Additional fees may apply for baggage. For information about seat assignments, baggage fees, or special requests, check the airline's site.

Trip Details



Flight 4529, departs at 6:00 AM

From: San Francisco, CA (SFO) Map
Departs: Thu, May 10, 2012 at 6:00 AM
To: Salt Lake City, UT (SLC)
Arrives: 8:49 AM on Thu, May 10, 2012 (1hr 49min)
Layover: Salt Lake City (0hr 51min)

Hotwire Hot Rate All flight times are local

Delta Air Lines (Operated by SKYWEST DBA DELTA CONNECTION) Canadair Regional Jet 900 Check flight status Baggage fee policy

Hotwire



With our partner Triplt, you can combine all your trip details into one master itinerary.

Add to Triplt

Flight 4836, departs at 9:40 AM

From: Salt Lake City, UT (SLC) Map
Departs: Thu, May 10, 2012 at 9:40 AM
To: Memphis, TN (MEM)
Arrives: 1:45 PM on Thu, May 10, 2012 (3hr 51min)

Delta Air Lines (Operated by SKYWEST DBA DELTA CONNECTION) Canadair Regional Jet 900 Check flight status

Total trip time: 5hr 45min

Contact information

Flight Delta Air Lines 1-800-221-1212 Confirmation code: G4I4TB

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Allianz Global Assistance Travel Protection 1-800-771-1281

Hotwire Customer Care Hotwire Itinerary: 8042591685

On our site View Help Center

By email support@hotwire.com



Flight 950, departs at 6:35 PM

From: Memphis, TN (MEM) Map
Departs: Sun, May 13, 2012 at 6:35 PM
To: Salt Lake City, UT (SLC)
Arrives: 8:58 PM on Sun, May 13, 2012 (3hr 23min)
Layover: Salt Lake City (0hr 38min)

Delta Air Lines Boeing 737 Check flight status Baggage fee policy

Flight 4546, departs at 9:36 PM

1 am Available

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From Salt Lake City,
UT(SLC)
Departs: Sun, May 13, 2012
at 9:36 PM

To: San Francisco, CA(SFO)
Map
Arrives: 10:50 PM on Sun,
May 13, 2012
(2hr 14min)



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1-866-HOTWIRE
(1-866-468-9473)

Outside U.S./Canada
1-417-520-1680
(toll charges apply)

Total trip time: 6hr 15min

Passenger name
Alpha J Bule
Ticket number
0067058671239

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Know before you go

- Bring a government-issued photo ID (e.g., driver's license, passport). You will need this to check-in. Please note that only ticketed passengers will be permitted through the security checkpoint.
- We recommend that you check the status of your flight with the airline on the date of travel.
- View standard airline ticket notices here.
- You can still insure against expenses should you be required to cancel or interrupt your trip due to medical or other covered reasons affecting yourself or family members. Buy Trip Protection with Allianz Global Assistance, a Hotwire partner.

Booking rules

- All bookings are final. No changes or refunds are allowed. Review our Terms of Use for more information.

Summary of charges

Round-trip ticket:	\$484.00
Passengers:	1
Booking fee:	\$0.00
Subtotal:	\$484.00

Trip total: \$484.00

Billed to: alpha j bule
Contact phone: (650) 872-1617
Contact email: alphabuile@sbcglobal.net
Charged to: MasterCard*****3187
Date booked: Fri, May 4, 2012

Dinner and a show, a guided city tour,
 shuttle services ... sound good?
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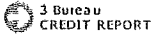
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1:39 PM Tuesday, June 26, 2012



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Mail Accounts

CheapOair.com - Bule/ Alpha - Booking receipt - Booking # 11064654
 "cheapoair@cheapoair.com" <cheapoair@cheapoair.com>
 alphabule@sbcglobal.net

Tuesday, June 26, 2012 1:39 PM

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- Providence Fou... (...)
- Read A Book
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- Travel Documen... (2)
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Please do not respond to this e-mail! This email is intended for notification purposes.

- [Click here to see your itinerary online »](#)
- [Click here to print your itinerary »](#)
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Customer Information

Traveler: Alpha Janet Bule Email: alphabule@sbcglobal.net Phone: 650-872-1617
 Booking #: 11064654 Booked on: Thu, Apr 26, 2012

Click Continue to get a FREE \$20 Rebate off the reservation you just made.

Continue

Trip Summary

Flight Summary

From: San Francisco, CA, US (SFO)	Depart: Thu, May 03, 2012 10:44 am - 07:20 pm (1 Stop)	Airline Confirmation: United Airlines : ECFG60 American Airlines : ELGFPPN
To: Nashville, TN, US (BNA)	Return: Sun, May 06, 2012 07:45 am - 01:10 pm (1 Stop)	

Traveler Name	Ticket Number	Meal Preference	Special Request
Bule, Alpha (Adult)	0167056158801 E-Ticket	Anymeal	—

Disclaimer: All special requests, meal preferences, seat requests are not guaranteed. You must contact your airline to reconfirm that they have received this request and confirmed it.

Flight Details (Optional)


Purchase Travel Insurance (Recommended)


Your ticket is non-refundable.
 Add travel insurance, secure your investment.
 Insurance that covers cancellations, delays, lost baggage,
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Add Insurance to My Trip

Booking Number: 11064654

Departing Flight - Thursday, May 03, 2012


 United Airlines Flight 1229 BOEING 737-900 Jet Airline confirmation: ECFG60	From San Francisco (SFO) 10:44am -May 03, Thu	To Houston Intercontinental (IAH) 04:33pm -May 03, Thu	Nonstop Coach Flight Duration 3 hr 49 min
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 United Airlines Flight 4619 Embraer RJ 135/140/145 Jet Airline confirmation: ECFG60	From Houston Intercontinental (IAH) 05:28pm -May 03, Thu	To Nashville (BNA) 07:20pm -May 03, Thu	Nonstop Coach Flight Duration 1 hr 52 min
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Operated by /EXPRESSJET AIRLINES DBA UNITED EXPRESS

Flight Duration: 5hr 41min Layover Time: 0hr 55min Total Trip Time: 6hr 36min

Return Flight - Sunday, May 06, 2012

 American Airlines Flight 811 MCDONNELL DOUGLAS MD-80 Jet Airline confirmation: ELGFFN	From Nashville (BNA) 07:45am -May 06, Sun	To Dallas Fort Worth (DFW) 09:50am -May 06, Sun	Nonstop Coach Flight Duration 2 hr 5 min
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 American Airlines Flight 2212 BOEING 737-800 Jet Airline confirmation: ELGFFN	From Dallas Fort Worth (DFW) 11:25am -May 06, Sun	To San Francisco (SFO) 01:10pm -May 06, Sun	Nonstop Coach Flight Duration 3 hr 45 min
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Flight Duration: 5hr 50min Layover Time: 1hr 35min Total Trip Time: 7hr 25min

Baggage Fees : Most airlines now impose baggage fees. Please click the [Baggage and Carry On Fees](#) link for complete details

Please note: As Airlines have frequent schedule changes, please call the Airline 24 hours before departure to reconfirm your flight details. [Airline Phone Numbers](#)

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If you are traveling to Australia and qualify for ETA, please [click here](#) to get instant approval for an Australian Electronic Travel Authority (ETA).

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If you still need help and want to talk to a Visa or passport expert, please call us at 1.888.728.0018 to be advised on your document requirements or to check the status of your document order.

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Flight Price Details

Traveler Type	Ticket Price	Tax & Fee Breakdown (incl. Traveler Assist)	Total
1 Adults	US\$ 493.00	US\$ 52.15	US\$ 545.15
		Insurance Fee:	US\$ 0.00
		Promo Discount:	- US\$ 5.00
Charged on Credit Card - Visa - ****0141		Subtotal:	US\$ 540.15
Total Booking Amount:			US\$ 545.15
Total Discount (Savings):			- US\$ 5.00
Total Cost:			US\$ 540.15

Please Note:

- All fares are quoted in USD.
- Please print and keep this receipt. Your credit card may be billed in multiple charges totaling the above amount.
- Some airlines may charge baggage fees.

Terms & Conditions

Flight Booking Terms & Conditions

Remarks:

IMPORTANT NOTE: All Tickets will be automatically Issued and are non-refundable, if you do not receive an email with ticket number information, please contact us to get the ticket number(s) or call the airline to receive ticket number information, **IN NO CASE WILL TICKETS BE REFUNDABLE**, even if not utilized.

NOTE: If it is a third party credit card, you may receive a phone call and email from our customer service department asking to verify this transaction before the tickets can be issued. A Third party credit card is when the Traveler is not the Card Holder.

Advice to Travelers

Voluntary Changes :

For assistance with changing your itinerary, you may contact us by calling toll free 24/7 at 866-636-9088. Although most itineraries ticketed by CheapOair allow for changes, the majority of these itinerary changes require the issuance of a new ticket, as per airline policy. All changes are subject to availability, airline rules and regulations, penalties, the difference from the original airfare and our service fee. The airline has final authorization regarding itinerary changes and penalties.

Name Changes:

As a consequence of TSA traveler regulations, changing the passenger name on ticketed bookings have become more complex. Please ensure when making a reservation we receive your name as it appears on your valid government issued photo ID, be sure to include first names, last name and middle initial if applicable. Prior to ticketing, we may be able to change or alter a name on a reservation. However, depending on the airline a new reservation may be required which could increase your airfare. After a ticket has been issued, changing the name can be one of the most difficult requests for us to get approval on. However, if the airline does give us approval, changing a name after a ticket has been issued are subject to the Voluntary Change rules, noted above.

Involuntary Changes (Airline or Airport Schedule Changes):

Airlines sometimes make changes to a scheduled flight itinerary that is beyond our control; in these cases, if the airlines notify us we in turn, may notify you. If we are notified of these changes we will send

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Check-In is now available for your United flight on Sun, Nov 20

Saturday, November 19, 2011 4:30 AM

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"United EasyCheck-In Online Notification" <unitedcheckin@unitedeco.p0.com> "ALPHA J BUIE" <alphabule@sbcglobal.net>

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- POYC - ICAN (10)
- Providence Fou... (...)
- Read A Book
- Shelly Tatum
- Travel Documen... (2)
- Wachovia Mortg... (2)

United confirmation number: **QGTJZO**



Flight date: Sun, Nov 20, 2011
 Flight number: United 5892
 Operated by: United Express/ExpressJet Airlines
 Departing: 6:00 AM Memphis International (MEM)
 Arriving: 7:53 AM O'Hare International (ORD)

Flight date: Sun, Nov 20, 2011
 Flight number: United 321
 Departing: 9:00 AM O'Hare International (ORD)
 Arriving: 11:47 AM San Francisco International (SFO)

[Check flight status](#) [View complete reservation](#)

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Check-In is now available for your United flight on Wed, Oct 19

Tuesday, October 18, 2011 6:30 AM

"United EasyCheck-In Online Notification"
<unitedcheckin@unitedeco.p0.com>
"ALPHA J BUIE" <alphabule@sbcglobal.net>

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- Inbox (31600)
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My Folders [Add - Edit]

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United confirmation number:
MBVD6U



Flight date: Wed, Oct 19, 2011
 Flight number: United 756
 Departing: 6:35 AM San Francisco International (SFO)
 Arriving: 9:04 AM Denver International (DEN)

Flight date: Wed, Oct 19, 2011
 Flight number: United 5539
 Operated by: United Express/Skywest Airlines
 Departing: 10:03 AM Denver International (DEN)
 Arriving: 1:17 PM Memphis International (MEM)

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EXECUTIVE DIRECTOR

September 7, 2012

Alpha Buie
3780 Erris Court
South San Francisco, CA 94080

Re: Waiver of Late Filing Fees, African American Democratic Club, ID # 981476

Dear Ms. Buie:

This letter responds to your committee's request for waiver of campaign finance disclosure late filing fees. By this letter, the Ethics Commission is notifying you of its decision regarding the waiver of fees assessed against your committee for \$2,720, which were assessed as follows:

Statement	Date Reporting Period Ends	Date Filed	Filing Deadline	Paper or Electronic	Days Late	Late Fee
460	12/31/2011	3/22/2012	1/31/2012	P	51	\$510
460	12/31/2011	2/29/2012	1/31/2012	E	29	\$725
460	3/17/2012	3/23/2012	3/22/2012	E	1	\$25
460	3/17/2012	6/12/2012	3/22/2012	P	21	\$210
460	5/19/2012	6/12/2012	5/24/2012	P	21	\$210
460	5/19/2012	5/25/2012	5/24/2012	E	1	\$25
460	6/30/2012	8/29/2012	7/31/2012	E	29	\$725
460	6/30/2012	8/29/2012	7/31/2012	P	29	\$290
Total Late Fees						\$2,720
Total Due After Waiver						\$0

Based on the information below, your committee's late filing fees totaling \$2,720 have been waived in full.

- Thank you for providing your records as proof for justification of "good cause" waiver. After a review of the documents that you provided, a 100% waiver was granted.
- Going forward, your committee will need to submit timely filings on or before any filing deadlines.

If you have any questions, please call the Commission's Fines Collection Officer, Ernestine Braxton, at (415) 252-3110.

Sincerely,

A handwritten signature in black ink, appearing to read "John St. Croix". The signature is fluid and cursive, with the first name "John" and last name "Croix" clearly distinguishable.

John St. Croix
Executive Director

cc: African American Democratic Club, 1551 Fillmore Street, San Francisco, CA 94115

S:\CAMPAIGN\Fines\12-13\FULL WAIVERS\9.7.12 AFRICAN AMERICAN DEMOCRATIC CLUB WAIVER.doc

Chatfield, Garrett (ETH)

From: jo jackson <jeliasjackson@gmail.com>
Sent: Friday, August 22, 2014 4:01 PM
To: Chatfield, Garrett (ETH)
Cc: ican-1990@sbcglobal.net; Jo For DCCC
Subject: Re: Ethics Commission Complaint

Thank you so much for outlining the steps. So nice to meet you. Have a great weekend.

God bless. Jo

On Aug 22, 2014 3:54 PM, "Chatfield, Garrett (ETH)" <garrett.chatfield@sfgov.org> wrote:

Dear Ms. Buie and Ms. Elias-Jackson:

This email is to provide you both with a status on the pending complaint in which Ms. Buie is the respondent, along with steps proposed to resolve this complaint. Below is a brief recap of my conversations with both of you.

On July 1, 2014, I met with Ms. Buie. At that meeting, Ms. Buie stated to me that she submitted an oral resignation as the treasurer of the General Purpose Committee "African American Democratic Club" (the Committee) to officers of the African American Democratic Club (AADC) in November 2012. Although she resigned internally to AADC members, she did not file a Form 410 statement with the Ethics Commission removing herself as treasurer of the Committee, and the AADC also did not file a Form 410 to remove her as the Committee's treasurer.

I explained to Ms. Buie that the last Form 460 that the Committee filed with the Commission on October 25, 2012, showed an outstanding cash balance of \$5,216.51. I also explained that because of the outstanding cash balance the Committee was required to continue to file Form 460s until the Committee could show it had no activity and/or terminates.

At that meeting, Ms. Buie provided documents to me that indicated that the Committee's documents were forwarded to a new treasurer, who did not understand that the Committee still had filing obligations with the Ethics Commission. I returned those documents to Ms. Buie. Ms. Buie and I agreed that she would attempt to obtain the Committee's bank statements in order to determine how the Committee used the cash balance of \$5,216.51 so that she could file any outstanding Form 460.

On August 11, 2014, Ms. Elias-Jackson, the AADC President, contacted me in order to help Ms. Buie resolve this matter. On August 22, 2014, I met with Ms. Elias-Jackson to explain the outstanding issues.

Below I am outlining the outstanding issues and how to resolve them.

1. Ms. Buie is still the legal treasurer for the Committee.

Resolved by filing a Form 410 to name a new treasurer for the Committee.

2. The Committee needs to file Form 460s for each of the following periods showing any activity that may have occurred: October 21 to December 31, 2012; January 1 to June 30, 2013; July 1 to December 31, 2013; and January 1 to June 30, 2014.

Resolved by obtaining the Committee's bank statements to show how the cash balance was spent and any other activity that may have occurred so that the information can be recorded on the Form 460s and filed.

3. Ms. Buie is the named respondent to the complaint. As it stands right now, Ms. Buie is the treasurer and responsible to pay any late fine or penalty. Late fines, in addition to any other penalty, accrue at ten dollars (\$10) per day after the deadline until the statement is filed for paper filings and at twenty-five dollars (\$25) per day after the deadline until the electronic copy or report is filed. Please note that late fines shall not exceed the cumulative amount stated in the late statement or report, or one hundred dollars (\$100), whichever is greater for paper filings and for electronic filings shall not exceed the cumulative amount stated in the late statement or report, or two hundred fifty dollars (\$250), whichever is greater. In this case, for the statement that covered the period from October 21 to December 31, 2012, the late fine could be as high as the outstanding cash balance of \$5,216.51.

Resolved by Ms. Buie obtaining a statement or some other corroborating evidence to show that she did resign to the AADC as the Committee's treasurer in November 2012, and by signing a stipulation acknowledging the failure to timely file.

Please note, that I will ask the Executive Director to significantly reduce any late fine or penalty and will consider all of the circumstances in this case in order to be reasonable about the resolution of the complaint.

To recap, I need the following information:

1. The Committee's bank statements from October 2012 until the account was closed.

2. Testimony, preferably written, from an AADC officer, stating that Ms. Buie resigned in November 2012 as the Committee's treasurer.

Please provide that information to me by October 1, 2014. I would like to help you both resolve these issues and get the Committee current on its filings while being equitable to Ms. Buie regarding the complaint.

Feel free to contact me prior to October 1 if you have any questions or concerns.

Thank you,

Garrett Chatfield
San Francisco Ethics Commission
City and County of San Francisco
25 Van Ness Avenue, Suite 220
San Francisco, CA 94102
(P) 415.252.3100/(F) 415.252.3124
garrett.chatfield@sfgov.org
http://www.sfethics.org

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1 John St. Croix
2 Executive Director
3 San Francisco Ethics Commission
4 25 Van Ness Avenue, Suite 220
5 San Francisco, CA 94102
6 (415) 252-3100

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BEFORE THE SAN FRANCISCO
ETHICS COMMISSION

In the Matter of:

ETHICS COMPLAINT NO. 13-131112

ACCUSATION

This document has been issued pursuant to Section IX.A of the San Francisco Ethics Commission Regulations for Investigations and Enforcement Proceedings (“Regulations”).

This Accusation is a public document.

DATE ISSUED: June 6, 2014

COMPLAINT NUMBER: 13-131112

RESPONDENT: Alpha Buie

INTRODUCTION

On May 28, 2014, the Ethics Commission (“the Commission”) held a Probable Cause Hearing concerning the complaint described herein, and determined that there is probable cause to believe that Alpha Buie (“Respondent”) committed three violations of the California Government Code.

During the course of its investigation, staff determined that there was reason to believe that Respondent committed three violations of the California Government Code by:

- failing to file Recipient Committee Campaign Statement Form 460s.

1 **I. BACKGROUND & PROCEDURAL HISTORY**

2 **A. BACKGROUND**

3 On October 27, 2011, Respondent formed a Committee as a General Purpose Committee for
4 the purpose of African American Political Education and Voter Registration. Respondent was the
5 Treasurer for the Committee. On October 27, 2011, the Committee filed its first Recipient Committee
6 Campaign Statement Form 460 ("Form 460"), which covered the pre-election period of January 1,
7 2011 to October 22, 2011. On that Form 460, Respondent reported receiving \$1,000 in contributions.
8 Respondent continued to file each required Form 460 through October 25, 2012. On October 25,
9 2012, Respondent filed her most recent Form 460 covering the reporting period from October 1, 2012 to
10 October 20, 2012. On that Form 460, Respondent was still identified as the Treasurer for the
11 Committee and she reported receiving \$9,570.00 in contributions year to date, and making \$13,503.76
12 in expenditures year to date. Respondent also reported an ending cash balance of \$5,216.51. There
13 was no indication on that Form 460 that it was a termination statement, and Respondent did not file a
14 Form 410 termination statement. That was the last period for which Respondent filed a Form 460.
15
16

17 **B. PROCEDURAL HISTORY**

18 On February 20, 2013, the Ethics Commission's Executive Director sent a letter to Respondent
19 informing her that the Form 460 covering the period ending December 31, 2012, was due to be filed
20 by January 31, 2013, and that it had not been filed with the Ethics Commission. On March 28, 2013,
21 the Executive Director sent a second notice indicating that the required Form 460 had still not been
22 filed with the Ethics Commission.
23

24 On November 12, 2013, the Ethics Commission notified Respondent by letter that a
25 complaint had been initiated against her for failing to file the next required Form 460, and that because
26 the Committee was not properly terminated, Respondent failed to file additional required semi-annual
27 Form 460s. Respondent received the Probable Cause Report and notice of the May 28, 2014 Probable
28

1 Cause Hearing on March 21, 2014. Respondent did not attend the Probable Cause Hearing on May
2 28, 2014, and did not submit a response to the Probable Cause Report.

3 **II. ALLEGED VIOLATIONS OF LAW**

4 In the Probable Cause Report, staff presented the following three counts against Respondent.
5 The Ethics Commission found probable cause for the following counts.

6 **Counts 1 through 3 – Three Violations of California Government Code, section 84200(a)**

7 California Government Code, section 84200(a), incorporated into local law by San Francisco
8 Campaign and Governmental Conduct Code, section 1.106, provides that elected officers, candidates,
9 and committees pursuant to California Government Code, section 82013(a), shall file semi-annual
10 statements each year no later than July 31 for the period ending June 30, and no later than January 31
11 for the period ending December 31.¹ California Government Code, section 84214, states that
12 committees and candidates that qualify as a committee under California Government Code, section
13 82013(a), must terminate their filing obligations pursuant to regulations adopted by the California Fair
14 Political Practices Commission (“FPPC”).²

15
16
17 Respondent formed a General Purpose Committee on October 27, 2011. Respondent received
18 \$1,000 in monetary contributions in 2011. Respondent filed the Committee’s most recent Form 460
19 on October 25, 2012, which covered the period from October 1 to October 20, 2012. On that Form
20 460, Respondent reported that the Committee received \$9,570.00 in monetary contributions and made
21 \$13,503.76 in expenditures in 2012. Respondent also reported that the Committee had an ending cash
22

23 _____
24 ¹ California Government Code, section 82013(a), states that a committee is a person or
25 combination of persons who directly or indirectly receives contributions totaling \$1,000 or more in a
26 calendar year.

27 ² FPPC Regulation 18404(b), states that a committee which qualifies pursuant to California
28 Government Code, section 82013(a), may terminate the committee’s status as a committee, only by
completing the termination section on the Form 410 declaring, under penalty of perjury, that the
committee: (1) has ceased to receive contributions and make expenditures and does not anticipate
receiving contributions or making expenditures in the future; (2) has eliminated or has declared that it
has no intention or ability to discharge all of its debts, loans received and other obligations; (3) has no
surplus funds; and (4) has filed all required campaign statements disclosing all reportable transactions.

1 balance of \$5,216.51 for that reporting period. Respondent did not terminate the Committee on the
2 Form 460 filed on October 25, 2012, and did not file a Form 410 termination statement. Because the
3 Committee was not terminated, Respondent was required to file semi-annual Form 460s on January
4 31, 2013; on July 31, 2013; and on January 31, 2014. Respondent did not file any of the required
5 semi-annual statements as of the time of the Probable Cause Hearing.

6 Respondent's Committee qualified as a committee pursuant to California Government Code,
7 section 82013(a), by raising over \$1,000 in contributions. Respondent did not terminate the
8 Committee as required by California Government Code, section 84214, and FPPC Regulation
9 18404(b). Respondent's filing obligation for the Committee continues until the Committee is formally
10 terminated.
11

12 **Count 1.** By failing to file the required semi-annual Form 460 by January 31, 2013, the Ethics
13 Commission alleges that Respondent committed one violation of California Government Code, section
14 84200(a).
15

16 **Count 2.** By failing to file the required semi-annual Form 460 by July 31, 2013, the Ethics
17 Commission alleges that Respondent committed one violation of California Government Code, section
18 84200(a).
19

20 **Count 3.** By failing to file the required semi-annual Form 460 by January 31, 2014, the Ethics
21 Commission alleges that Respondent committed one violation of California Government Code, section
22 84200(a).
23

24 **III. ADDRESS FOR ALL SERVICE OR DELIVERY**

25 Wherever the Regulations require service on or delivery to the Commission, the Chairperson,
26 its members, or the Executive Director, service and delivery shall be effected at the Commission
27 office:
28

San Francisco Ethics Commission
Attn: *Enforcement Division*

25 Van Ness Avenue, Suite 220
San Francisco, CA 94102

Dated: _____

JOHN ST. CROIX, Executive Director
San Francisco Ethics Commission

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SENDER: COMPLETE THIS SECTION

- Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.
- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.

1. Article Addressed to:

ALPHA BUIE
 3780 ERRIS COURT
 SOUTH SAN FRANCISCO, CA 94080

2. Article Number
(Transfer from service label)

7008 1140 0002 0193 1665

PS Form 3811, February 2004

Domestic Return Receipt

102595-02-M-1540

COMPLETE THIS SECTION ON DELIVERY

A. Signature
 Alpha Buie Agent Addressee

B. Received by (Printed Name)
 Alpha Buie

C. Date of Delivery
 2/14/16

D. Is delivery address different from item 1? Yes No
 If YES, enter delivery address below:

3. Service Type
 Certified Mail Express Mail
 Registered Return Receipt for Merchandise
 Insured Mail C.O.D.

4. Restricted Delivery? (Extra Fee) Yes

SENDER: COMPLETE THIS SECTION

- Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.
- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.

1. Article Addressed to:

ALPHA BUIE
 1321 EVANS AVENUE, SUITE C
 SAN FRANCISCO, CA 94124

2. Article Number
(Transfer from service label)

7008 1140 0002 0193 1634

PS Form 3811, February 2004

Domestic Return Receipt

102595-02-M-1540

COMPLETE THIS SECTION ON DELIVERY

A. Signature
 Elysha A. Nod-Scholar Agent Addressee

B. Received by (Printed Name)
 Elysha A. Nod-Scholar

C. Date of Delivery
 12/22/16

D. Is delivery address different from item 1? Yes No
 If YES, enter delivery address below:

DEC 12 2016

3. Service Type
 Certified Mail Express Mail
 Registered Return Receipt for Merchandise
 Insured Mail C.O.D.

4. Restricted Delivery? (Extra Fee) Yes

SENDER: COMPLETE THIS SECTION

- Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.
- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.

1. Article Addressed to:

CHARLES SPENCER
 1519 O'FARRELL STREET
 SAN FRANCISCO, CA 94115

2. Article Number
(Transfer from service label)

7008 1140 0002 0193 1610

PS Form 3811, February 2004

COMPLETE THIS SECTION ON DELIVERY

A. Signature
 Charles Spencer Agent Addressee

B. Received by (Printed Name)
 Charles Spencer

C. Date of Delivery
 12/9/16

D. Is delivery address different from item 1? Yes No
 If YES, enter delivery address below:

3. Service Type
 Certified Mail Express Mail
 Registered Return Receipt for Merchandise
 Insured Mail C.O.D.

4. Restricted Delivery? (Extra Fee) Yes



**ETHICS COMMISSION
CITY AND COUNTY OF SAN FRANCISCO**

2016 DEC 19 PM 3:10

SAN FRANCISCO
ETHICS COMMISSION

BY PM 12/7/16 JVC

PAUL A. RENNE
CHAIRPERSON

PETER KEANE
VICE-CHAIRPERSON

BEVERLY HAYON
COMMISSIONER

DAINA CHIU
COMMISSIONER

QUENTIN L. KOPP
COMMISSIONER

LEEANN PELHAM
EXECUTIVE DIRECTOR

Via U.S. Registered Mail

Alpha Buie
1601 Lane Street
San Francisco, CA 94124

December 6, 2016

**Re: Ethics Complaint No. 13-131112 – NOTICE OF HEARING ON THE MERITS
Monday, January 23, 2017 at 5:30 PM in Room 400 at City Hall**

Dear Ms. Buie:

You are hereby notified that a hearing will be held before the Ethics Commission at Room 400 on the **23rd day of January, 2017**, at the hour of 5:30 PM, at City Hall, 1 Dr. Carlton B. Goodlett Place, San Francisco, California 94102, upon the charges made in the attached accusation. You may be present at the hearing, may, but need not, be represented by counsel, may present any relevant evidence, and will be given an opportunity to cross-examine all witnesses testifying against you. You may request the issuance of subpoenas to compel the attendance of witnesses and the production of books, documents or other things by applying to the Commission, pursuant to Section X.D of the Ethics Commission Regulations for Investigations and Enforcement Proceedings, on or before Tuesday, January 3, 2017.

Pursuant to Section X.C of the Ethics Commission’s Regulations, I must, and you may, submit a hearing brief that outlines your legal arguments and lists the evidence and witnesses you wish to present at the hearing. I will issue a hearing brief on or before January 3, 2017. If you choose to submit a hearing brief, it must be submitted by Tuesday, January 3, 2017. I have enclosed the Accusation and a copy of the Regulations.

You may also request the resolution of preliminary matters, unrelated to the merits of the accusation, pursuant to Section X.B of the Regulations, no later than 25 days prior to the commencement of a hearing on the merits, or Thursday, December 29, 2016. Preliminary matters may include, but are not limited to, the following:

- (a) Procedural matters;
- (b) Disqualification of any member of the Commission from participation in the hearing on the merits;
- (c) Requests for dismissal of any charges in the accusation because, even if the allegations set forth in the accusation are true, those charges do not state a violation of law as alleged;
- (d) Discovery motions; and
- (e) Any other matters not related to the truth or falsity of the factual allegations in the accusation.

The hearing on the merits shall be open to the public, provided that either the Executive Director or the Respondents may request that the Commission exclude any witnesses. All evidence admissible in an administrative proceeding governed by the California Administrative Procedure Act shall be admissible in a hearing on the merits. At the hearing, the Executive Director and each Respondent shall be allowed oral argument. The Commission shall determine the appropriate length for the arguments. (*EC Regs. Section XII.*)

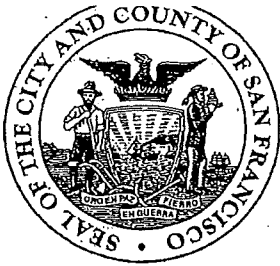
If you have any questions regarding this matter, please contact Jessica Blome at (415) 252-3100 or jessica.blome@sfgov.org.

Sincerely,

A handwritten signature in cursive script, appearing to read "LeeAnn Pelham", followed by a horizontal line extending to the right.

LeeAnn Pelham
Executive Director

Encl.



ETHICS COMMISSION CITY AND COUNTY OF SAN FRANCISCO

BENEDICT Y. HUR
CHAIRPERSON

PAUL A. RENNE
VICE-CHAIRPERSON

BRETT ANDREWS
COMMISSIONER

BEVERLY HAYON
COMMISSIONER

PETER KEANE
COMMISSIONER

JOHN ST. CROIX
EXECUTIVE DIRECTOR

CONFIDENTIAL

Via Personal Service

Alpha Buie
1321 Evans Street, Suite C
San Francisco, CA 94124

March 21, 2014

Re: **Ethics Complaint No. 13-131112**

Dear Ms. Buie:

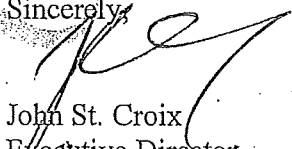
You are hereby notified that the Ethics Commission will hold a probable cause hearing for the above-referenced matter, in which you are a named Respondent. The hearing will take place at 5:30 p.m. on Wednesday, May 28, 2014, in Room 416 at City Hall, 1 Dr. Carlton B. Goodlett Place, San Francisco, California, 94102.

Enclosed is a copy of the Probable Cause Report. Pursuant to section VII.C of the San Francisco Ethics Commission Regulations for Investigations and Enforcement Proceedings ("Regulations"), you may submit a written response to the Probable Cause Report. A response shall not exceed 25 pages (excluding attachments). Eight copies must be delivered to the Commission no later than 20 days prior to the date of the hearing, which is Thursday, May 8, 2014. You may also request to submit the response via email.

Unless you request that the hearing be held in public, the hearing shall be held in closed session. (Regulations § VIII.A.2.) At the hearing, you have the right to be present and represented by counsel. If you decline to appear on Wednesday, May 28, 2014, the Commission will conduct the hearing in your absence. Attached for your reference is a copy of the Regulations.

If you have any questions regarding this matter, please call Garrett Chatfield at (415) 252-3100.

Sincerely,


John St. Croix
Executive Director

PROOF OF SERVICE

FILED

I am a citizen of the United States. I am over the age of 18, and not a party to the within action. My business address is: P. O. Box 78154, San Francisco, California, 94107. On March 21, 2014, I served the foregoing documents described as

14 MAR 24 PM 2:36
SAN FRANCISCO
ETHICS COMMISSION

Probable Cause Report – Ethics Complaint No. 13-131112,

on the persons named below by placing a true copy thereof, enclosed in a sealed envelope, addressed as follows:

**Alpha Buie
1321 Evans Street, Suite C
San Francisco, CA 94124**

- BY CERTIFIED MAIL: I caused such envelope to be deposited in the mail at San Francisco, California, by personally placing such envelope for collection and mailing on the above-referenced date following the ordinary business practices of this office. I am readily familiar with our office’s practices for collection and processing of correspondence for mailing with the United States Postal Service. In the ordinary course of business, correspondence, including said envelope, will be deposited with the United States Postal Service at San Francisco on the above-referenced date.
- BY PERSONAL SERVICE: I delivered such envelope to the above addressee(s) on the above date.

I declare, under penalty of perjury under the laws of the State of California, that the foregoing is true and complete.

Executed on March 21, 2014, at San Francisco, California.

Todd Brenneck
(Print Name)

[Signature]
(Signature)