



# ETHICS COMMISSION

## CITY AND COUNTY OF SAN FRANCISCO

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EXECUTIVE DIRECTOR

Date: March 22, 2017

To: Members of the Ethics Commission

From: Pat Petersen, Education and Compliance Officer

Subject: **AGENDA ITEM 7**  
**Education and Compliance Report for the March 27, 2017 Meeting**

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**Summary:** This report highlights programmatic information and operational updates related to the Education and Compliance Program

**Action Requested:** No action is required by the Commission as this item is for informational purposes only.

### Outreach

#### *Statement of Economic Interests (Form 700) Annual Filings*

Preparation for the Annual Statement of Economic Interests (Form 700) filings continues to be the primary focus of activities of the Education and Compliance program. This year, officials' and designated filers' annual financial disclosure forms are required to be submitted no later than Monday, April 3, because April 1 this year falls on a weekend.

To help heighten awareness of these filing requirements and support full and timely compliance this filing season, Commission staff held four information sessions for Filing Officers and designated filers. These information sessions have been designed to help individuals better understand the purpose and mechanics of Form 700 filings. Information presented at the filer information sessions appears in Attachment 1.

So far, more than 40 designated filers representing over a dozen departments, and more than 30 filing officers, attended the sessions. Responses from designated filers to post-session surveys about the trainings, and other follow-on conversations with attendees, were positive. We also circulated a follow-up "FAQ" for filers to answer a series of commonly asked questions (See Attachment 2). To encourage even broader awareness, we have added a fifth Form 700 filing information session. This session is scheduled for March 24.

As we prepare to move toward e-filing for all Form 700 filers in the coming year, these discussions will provide helpful information about the most effective information and resources filers desire to better understand and comply with their financial disclosure filing requirements.

## *New Website*

As we reported last month, our new website enables us to highlight key activities and requirements throughout the year on a home page “banner.” This banner can be changed as often as helpful to link to specific compliance tools or further detailed program information, all in one focused place.

This month, for example, the [banner](#) and its [related landing page](#) have continued to highlight information and resources for Form 700 filers to promote understanding and filing compliance about these public disclosure statements. Once the April 3<sup>rd</sup> deadline has passed, visitors to the site will find additional information about how to understand and access this year’s filings.

As we continue to gather and assess feedback on our new website, understanding the information needs of our web users will help us continue to shape the most useful content for our education and compliance notices and guidance going forward.

We look forward to answering any questions you might have at the upcoming Commission meeting.



# **San Francisco Ethics Commission**

## **STATEMENT OF ECONOMIC INTERESTS - FORM 700 2017 ANNUAL FILING**

**Filer Information Session**

**03/10/17**

# AGENDA

- Overview - Statement of Economic Interests
- Form 700 Filing Process
- Form 700 Review
- Q&A


# **OVERVIEW**

## **Statement of Economic Interests**

# STATEMENT OF ECONOMIC INTERESTS - FORM 700

- Political Reform Act
- Why Statement of Economic Interests Form 700s are filed
- How Form 700 disclosure supports Transparency and Accountability



2016/2017 Statement of Economic Interests	
<hr/>	
Form 700	
A Public Document	

## WHO FILES FORM 700?

- Elected Officials, Departments Heads, Board Members and Commissioners
- Designated Employees

Learn more online:

[San Francisco Campaign & Governmental Conduct Code](#)

# FILING REQUIREMENTS AND DUE DATES

- Assuming Office – Within 30 days
- Annual – Apr 3<sup>rd</sup> 2017\*
- Leaving Office – Within 30 days

**\*Exception:** If you assumed office between Oct 1 2016 and March 31 2017, and filed an assuming office Form 700, you do not need to file annual Form 700 in 2017.

Learn more online:  
[Form 700 Filing Deadlines page](#)



# ETHICS & SUNSHINE TRAINING

For Elected Officials, Departments Heads, Board Members and Commissioners

- Sunshine Ordinance Declaration - Due Apr 3<sup>rd</sup> 2017
- Certificate of Ethics Training – Due every two years

Learn more online:  
[Ethics and Sunshine Training page](#)

# **FORM 700 FILING PROCESS**

# FILING 2017 ANNUAL FORM 700 ELECTRONICALLY

Elected Officials, Departments Heads, Board Members and Commissioners

- Login to the Ethics Commission E-filing system (NetFile)
- Complete and submit the form online by due date



Learn more online:

[2017 Annual Form 700 Filing Requirements page](#)

# FILING 2017 ANNUAL FORM 700 ON PAPER

## Designated Employees

- Print and complete hard copy Form 700
- Submit the completed form to your Filing Officer by due date

The image shows the cover page of California Form 700, titled 'STATEMENT OF ECONOMIC INTERESTS COVER PAGE'. The form is from the 'CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION A PUBLIC DOCUMENT'. It includes a 'Date Initial Filing Received Official Use Only' field. The 'NAME OF FILER' section has lines for (LAST), (FIRST), and (MIDDLE). Section 1, 'Office, Agency, or Court', includes fields for 'Agency Name (Do not use acronyms)', 'Division, Board, Department, District, if applicable', and 'Your Position'. It also has a section for multiple positions with 'Agency' and 'Position' fields. Section 2, 'Jurisdiction of Office (Check at least one box)', includes checkboxes for 'State', 'Multi-County', 'City of', 'Judge or Court Commissioner (Statewide Jurisdiction)', 'County of', and 'Other'. Section 3, 'Type of Statement (Check at least one box)', is partially visible.

Learn more online:

[2017 Annual Form 700 Filing Requirements page](#)

# PUBLIC ACCESS TO FILED FORMS

- Form 700 statements filed electronically
  - Available at [Form 700 Online Disclosure](#) (with limited redactions)
  - Un-redacted forms are accessible to the public on request at the Ethics Commission
- Form 700 statements filed on paper
  - Retained with departmental filing officers and are accessible to the public on request
- Sunshine Ordinance Declarations and Certificates of Ethics Training
  - Available at [Online Disclosure](#) (with limited redactions)
  - Un-redacted forms are accessible to the public on request at the Ethics Commission

## LATE FILING AND ENFORCEMENT

- No provision in the law to extend Form 700 due dates
- Late fees of \$10/day up to a \$100 for each required filing
- Non-filers may be subject to disciplinary and/or enforcement actions with potential fines of up to \$5,000 per violation

Learn more online:  
[Late Filing and Enforcement page](#)

## AMENDMENTS TO FILED FORM 700

- Amend the form electronically or on paper depending on your original filing
- Amendments can be made to current or prior years' filings

Learn more online:  
[How to File Form 700](#)

# FILING SUPPORT & RESOURCES

## ■ Contacts for Individual Assistance


- Filing Officer for your department
- Ethics Commission – [ethics.commission@sfgov.org](mailto:ethics.commission@sfgov.org) or (415) 252-3100
- Fair Political Practices Commission (FPPC) - (866) 275-3772 (866-ASK-FPPC)
- Deputy City Attorney assigned to your department

## ■ Online Resources


- Ethics Commission website - [www.sfethics.org](http://www.sfethics.org)
- Fair Political Practices Commission website - [www.fppc.ca.gov/Form700.html](http://www.fppc.ca.gov/Form700.html)



# FORM 700 FILING GUIDANCE & RESOURCES AT SFETHICS.ORG



City & County of San Francisco  
Ethics Commission

Commission ▾ Compliance ▾ Disclosures ▾ Enforcement ▾ Laws ▾ E-File ▾ 



## It's Statement of Economic Interests Filing Time

Form 700s for City officers & designated employees are due April 3, 2017.

Start Here



GET GUIDANCE   
Request ethics advice



E-FILE STATEMENTS   
Submit disclosures online



VIEW DISCLOSURES   
Search statements & data




FILE A COMPLAINT   
Report violations of ethics laws


Meetings 

News 

Get Interested Persons Updates



City & County of San Francisco  
Ethics Commission

Commission ▾ Compliance ▾ Disclosures ▾ Enforcement ▾ Laws ▾ E-File ▾ 

## Annual Form 700 Filings Due April 3, 2017



Public economic interest filings by City officers and designated employees support transparent and accountable local government.

It's time for City officers and designated employees to file their Annual Statement of Economic Interests (Form 700). These public filings help officials and employees monitor their financial interests, identify when those interests might conflict with their government actions, and take steps to avoid conflicts of interests. City officers and designated employees are required to file the Fair Political Practices Commission (FPPC) Form 700 (covering the period January 1 to December 31, 2016) with their filing officers by **Monday, April 3rd 2017**. Please note that there is no provision in state law to extend the filing deadlines.

The following sections summarize the filing requirements and deadlines for:

- Elected Officials, Department Heads, Board Members and Commissioners
- Designated Employees
- Filing Officers

### Elected Officials, Department Heads, Board Members and Commissioners

E-File Form 700



#### FILING DEADLINES

- E-file FPPC Form 700 by **Monday, April 3 2017**.
- File **Sunshine Ordinance Declaration**  by **Monday, April 3 2017**.
- Ethics training is required every 2 years and **Certificate of Ethics Training**  is to be filed within 30 days of taking the training. **Look up** your last certificate to check if this training is due.

#### RESOURCES

- Attend a **Filer Information Session** on **February 24 or March 10 2017**.
- Learn more about **how to file Form 700** and the **filing deadlines**.
- Have questions about your **NetFile account**? Visit **account setup** page to learn about **password reset**. If you forgot your user ID, contact your **Filing Officer** or the Ethics Commission.
- Access **Ethics and Sunshine** online training or learn more about the **training requirements**.

#### KEY REMINDERS

- If you assumed office between October 1 2016 & March 31 2017 and filed an assuming office Form 700 then you do not need to file annual Form 700 in 2017.
- Report only what is required in Form 700 based on your disclosure category. Review the **Campaign and Governmental Conduct Code Sec. 3.1-103** to find your disclosure category.
- Electronically filed Form 700 statements are available to the public at **Form 700 Online Database**.

### Designated Employees

Download Form 700 



#### FILING DEADLINE

- File FPPC Form 700 on **paper**  with your department's filing officer no later than **Monday, April 3 2017** or an earlier date identified by your department's filing officer.

#### RESOURCES

- Attend a **Filer Information Session** on **February 24 or March 10 2017**.
- Learn more about **how to file Form 700** and the **filing deadlines**.
- If you need assistance contact your department's **Filing Officer** or the Ethics Commission.

#### KEY REMINDERS

- If you assumed office between October 1 2016 & March 31 2017 and filed an assuming office Form 700 then you do not need to file annual Form 700 in 2017.
- Report only what is required in Form 700 based on your disclosure category. Review your department's Code in the **Campaign and Governmental Conduct Code Sec. 3.1-100 to 3.1-510** (click on your department's section) to find your disclosure category.
- Form 700 statements filed on paper are retained with departmental filing officers and are accessible to the public.

# **FORM 700 REVIEW**

## FORM 700 **GENERAL REMINDERS**

- Reporting period for 2017 annual filing: 1/1/2016 to 12/31/2016
- Reportable financial interests include filer's own and those of filer's spouse/partner. They also include interests of dependent children.
- Filer's position and disclosure category will determine reportable financial interests

# HOW TO FIND YOUR DISCLOSURE CATEGORY

- Visit San Francisco Campaign & Governmental Conduct Code
- Click on the section for your department

The screenshot displays the American Legal Publishing Corporation website. The left sidebar lists various San Francisco codes, with 'San Francisco Campaign and Governmental Conduct Code' selected. The main content area shows a list of sections, with 'Sec. 3.1-230. Ethics Commission' circled in red. Below this, the 'SEC. 3.1-100. DEFINITIONS.' section is visible, starting with 'As used in this chapter:' and listing definitions for terms like 'Political Reform Act'.

Section Number	Section Name
<a href="#">Sec. 3.1-215</a>	Elections, Department of.
<a href="#">Sec. 3.1-218</a>	Emergency Management, Department of.
<a href="#">Sec. 3.1-225</a>	Environment, Department of the.
<a href="#">Sec. 3.1-230</a>	<b>Ethics Commission</b>
<a href="#">Sec. 3.1-240</a>	Film Commission.
<a href="#">Sec. 3.1-242</a>	Finance Corporation.
<a href="#">Sec. 3.1-245</a>	Fine Arts Museums.
<a href="#">Sec. 3.1-250</a>	Fire Department.
<a href="#">Sec. 3.1-251</a>	General Services Agency – City Administrator.
<a href="#">Sec. 3.1-252</a>	General Services Agency – Public Works.
<a href="#">Sec. 3.1-253</a>	General Services Agency – Technology, Department of.
<a href="#">Sec. 3.1-255</a>	Golden Gate Park Concourse Authority.
<a href="#">Sec. 3.1-260</a>	Health Authority.
<a href="#">Sec. 3.1-267</a>	Health Service System.

**SEC. 3.1-100. DEFINITIONS.**

As used in this chapter:

(a) "Political Reform Act" means the Political Reform Act of 1974, as said Act reads on the date of the adoption of this chapter.

## HOW TO FIND YOUR DISCLOSURE CATEGORY

- View the disclosure category and description for your position (Note: description for disclosure category I is under 3.1-107)
- Contact your Filing Officer or Department Head regarding any questions



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California


- San Francisco Charter
- San Francisco Administrative Code
- San Francisco Business and Tax Regulations Co
- San Francisco Campaign and Governmental Co
- CAMPAIGN AND GOVERNMENTAL CONDUCT
- ARTICLE I: ELECTION CAMPAIGNS
- ARTICLE II: LOBBYING
- ARTICLE III: CONDUCT OF GOVERNMENT C**
- ARTICLE IV: PROTECTION OF WHISTLEBLO
- References to Ordinances
- San Francisco Environment Code
- San Francisco Fire Code
- San Francisco Health Code
- San Francisco Municipal Elections Code
- San Francisco Park Code
- San Francisco Planning Code
- San Francisco Zoning Maps
- San Francisco Police Code
- San Francisco Port Code

Start Over   Prev Doc   Next Doc

**SEC. 3.1-230. ETHICS COMMISSION.**

**Disclosure Category 2.** Persons in this category shall disclose any investments in, business posit  
the Ethics Commission, including but not limited to, computer hardware or software companies, co  
equipment to the Ethics Commission during the reporting period.

<i>Designated Positions</i>	<i>Disclosure Categories</i>
Commission Member	1
Executive Director	1
Deputy Director	1
Assistant Deputy Director	1
Consultant/New Positions	*
Senior Fellow	1



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California

- San Francisco Charter
- San Francisco Administrative Code
- San Francisco Business and Tax Regulations Code
- San Francisco Campaign and Governmental Code
  - CAMPAIGN AND GOVERNMENTAL CONDUCT
  - ARTICLE I: ELECTION CAMPAIGNS
  - ARTICLE II: LOBBYING
  - ARTICLE III: CONDUCT OF GOVERNMENT OFFICIALS**
  - ARTICLE IV: PROTECTION OF WHISTLEBLOWERS
  - References to Ordinances
- San Francisco Environment Code
- San Francisco Fire Code
- San Francisco Health Code
- San Francisco Municipal Elections Code
- San Francisco Park Code
- San Francisco Planning Code
- San Francisco Zoning Maps
- San Francisco Police Code
- San Francisco Port Code
- San Francisco Public Works Code
- San Francisco Subdivision Code
- San Francisco Transportation Code
- San Francisco Building Inspection Commission

Start Over
Prev Doc
Next Doc

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**SEC. 3.1-107. DISCLOSURE CATEGORY 1.**

Unless otherwise specified, for each department or agency, Disclosure Category 1 shall read:

**"Disclosure Category 1.** Persons in this category shall disclose income (including gifts) from any source, including but not limited to the following:

(Added by Ord. 71-00, File No. 000358, App. 4/28/2000; Ord. 320-10, File No. 101272, App. 12/23/2010)

(Derivation: Former Administrative Code Section 58.8)

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**SEC. 3.1-108. CONSULTANTS.**

Unless otherwise stated in this Chapter, consultants for departments and agencies covered by this Chapter shall, however, that the director of the department or agency for which a consultant works may determine whether the consultant should disclose economic interests in a disclosure category other than Disclosure Category 1 because the consultant's disclosure is based upon that description, a statement of the extent of disclosure requirements. The determination shall be a

(Added by Ord. 80-07, File No. 070122, App. 4/19/2007)

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**SEC. 3.1-109. DECEASED**

## FORM 700 SCHEDULES

- Cover Page
- Schedules
  - A-1: Investments - Stocks, Bonds, and Other Interests (Ownership <10%)
  - A-2: Investments, Income, and Assets of Business Entities/Trusts (Ownership >10%)
  - B: Interests in Real Property
  - C: Income, Loans, and Business Positions
  - D: Income - Gifts
  - E: Income - Gifts of Travel Payments, Advances, and Reimbursements

# FORM 700 COVER PAGE REMINDERS

- List business address
  - Contact information will not be redacted in the forms retained at departments
  - Electronic filers: Contact information will be redacted online but is available un-redacted at the Ethics Commission
- Select applicable schedules
- Sign the form

**CALIFORNIA FORM 700**  
FAIR POLITICAL PRACTICES COMMISSION  
A PUBLIC DOCUMENT

**STATEMENT OF ECONOMIC INTERESTS**  
COVER PAGE

Date Initial Filing Received  
Official Use Only

Please type or print in ink.

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

**1. Office, Agency, or Court**  
Agency Name (Do not use acronyms)  
Division, Board, Department, District, if applicable Your Position  
If filing for multiple positions, list below or on an attachment. (Do not use acronyms)  
Agency: Position:

**2. Jurisdiction of Office (Check at least one box)**  
☐ State ☐ Judge or Court Commissioner (Statewide Jurisdiction)  
☐ Multi-County ☐ County of  
☐ City of ☐ Other

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

**4. Schedule Summary (must complete)** ▶ Total number of pages including this cover page:  
**Schedules attached**  
☐ Schedule A-1 - Investments - schedule attached ☐ Schedule C - Income, Loans, & Business Positions - schedule attached  
☐ Schedule A-2 - Investments - schedule attached ☐ Schedule D - Income - Gifts - schedule attached  
☐ Schedule B - Real Property - schedule attached ☐ Schedule E - Income - Gifts - Travel Payments - schedule attached  
-or-  
☐ None - No reportable interests on any schedule

**5. Verification**  
MAILING ADDRESS STREET CITY STATE ZIP CODE  
(Business or Agency Address Recommended - Public Document)  
DAYTIME TELEPHONE NUMBER E-MAIL ADDRESS  
( )  
I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I acknowledge this is a public document.  
I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.  
Date Signed (month, day, year) Signature (File the originally signed statement with your filing official)

## Investments - Stocks, Bonds, and Other Interests (Ownership <10%)

- Investments worth \$2,000 or more
- Stocks/bonds chosen by the individual
- Mutual funds are not required to be disclosed

SAN FRANCISCO ETHICS COMMISSION | 2017



# FORM 700 SCHEDULE A-2 REMINDERS

## Investments, Income, and Assets of Business Entities/Trusts (Ownership >10%)

- Business ownership
- Must report any client that was a source of more than \$10k of income
- Trust funds

SCHEDULE A-2 Investments, Income, and Assets of Business Entities/Trusts (Ownership Interest is 10% or Greater)		CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION Name _____
<b>1. BUSINESS ENTITY OR TRUST</b> Name _____ Address (Business Address Acceptable) _____ Check one <input type="checkbox"/> Trust, go to 2 <input type="checkbox"/> Business Entity, complete the box, then go to 2	<b>1. BUSINESS ENTITY OR TRUST</b> Name _____ Address (Business Address Acceptable) _____ Check one <input type="checkbox"/> Trust, go to 2 <input type="checkbox"/> Business Entity, complete the box, then go to 2	
<b>GENERAL DESCRIPTION OF THIS BUSINESS</b> FAIR MARKET VALUE <input type="checkbox"/> \$0 - \$1,999 <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000 IF APPLICABLE, LIST DATE: ACQUIRED _____/_____/16 DISPOSED _____/_____/16 NATURE OF INVESTMENT <input type="checkbox"/> Partnership <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Other YOUR BUSINESS POSITION _____	<b>GENERAL DESCRIPTION OF THIS BUSINESS</b> FAIR MARKET VALUE <input type="checkbox"/> \$0 - \$1,999 <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000 IF APPLICABLE, LIST DATE: ACQUIRED _____/_____/16 DISPOSED _____/_____/16 NATURE OF INVESTMENT <input type="checkbox"/> Partnership <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Other YOUR BUSINESS POSITION _____	
<b>2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME OF THE ENTITY/TRUST)</b> <input type="checkbox"/> \$0 - \$499 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> OVER \$100,000 <input type="checkbox"/> \$1,001 - \$10,000	<b>2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME OF THE ENTITY/TRUST)</b> <input type="checkbox"/> \$0 - \$499 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> OVER \$100,000 <input type="checkbox"/> \$1,001 - \$10,000	
<b>3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (attach a separate sheet if necessary.)</b> <input type="checkbox"/> None or <input type="checkbox"/> Names listed below _____ _____ _____	<b>3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (attach a separate sheet if necessary.)</b> <input type="checkbox"/> None or <input type="checkbox"/> Names listed below _____ _____ _____	
<b>4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST</b> Check one box: <input type="checkbox"/> INVESTMENT <input type="checkbox"/> REAL PROPERTY Name of Business Entity, if Investment, or Assessor's Parcel Number or Street Address of Real Property _____ Description of Business Activity or City or Other Precise Location of Real Property _____ FAIR MARKET VALUE <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000 IF APPLICABLE, LIST DATE: ACQUIRED _____/_____/16 DISPOSED _____/_____/16 NATURE OF INTEREST <input type="checkbox"/> Property Ownership/Deed of Trust <input type="checkbox"/> Stock <input type="checkbox"/> Partnership <input type="checkbox"/> Leasehold <input type="checkbox"/> Other Yrs. remaining _____ <input type="checkbox"/> Check box if additional schedules reporting investments or real property are attached	<b>4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST</b> Check one box: <input type="checkbox"/> INVESTMENT <input type="checkbox"/> REAL PROPERTY Name of Business Entity, if Investment, or Assessor's Parcel Number or Street Address of Real Property _____ Description of Business Activity or City or Other Precise Location of Real Property _____ FAIR MARKET VALUE <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000 IF APPLICABLE, LIST DATE: ACQUIRED _____/_____/16 DISPOSED _____/_____/16 NATURE OF INTEREST <input type="checkbox"/> Property Ownership/Deed of Trust <input type="checkbox"/> Stock <input type="checkbox"/> Partnership <input type="checkbox"/> Leasehold <input type="checkbox"/> Other Yrs. remaining _____ <input type="checkbox"/> Check box if additional schedules reporting investments or real property are attached	
Comments: _____	FPPC Form 700 (2016/2017) Sch. A-2 FPPC Advice Email: advice@fppc.ca.gov	

# FORM 700 SCHEDULE B REMINDERS

## Interests in Real Property

- Report interests (worth \$2,000 or more) in real property owned within the city (personal home is generally excluded)
- Report rental income from properties owned within the city (including personal home, if a portion of it is rented out)
- Tenants names are also reported and not redacted on paper filings (names are redacted online for electronically filed forms)
- Personal mortgages are not reportable if they are at rates available to the general public

SCHEDULE B Interests in Real Property (Including Rental Income)		CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION Name _____
<b>ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS</b> _____ <b>CITY</b> _____	<b>ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS</b> _____ <b>CITY</b> _____	
<b>FAIR MARKET VALUE</b> <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	<b>IF APPLICABLE, LIST DATE:</b> _____/_____/16 <b>ACQUIRED</b> <b>DISPOSED</b>	
<b>NATURE OF INTEREST</b> <input type="checkbox"/> Ownership/Deed of Trust <input type="checkbox"/> Leasehold Yrs. remaining _____	<input type="checkbox"/> Easement <input type="checkbox"/> Other Yrs. remaining _____	
<b>IF RENTAL PROPERTY, GROSS INCOME RECEIVED</b> <input type="checkbox"/> \$0 - \$499 <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	<input type="checkbox"/> \$0 - \$499 <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	
<b>SOURCES OF RENTAL INCOME:</b> If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more. <input type="checkbox"/> None _____ _____ _____		
<b>* You are not required to report loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:</b>		
<b>NAME OF LENDER*</b> _____ <b>ADDRESS (Business Address Acceptable)</b> _____ <b>BUSINESS ACTIVITY, IF ANY, OF LENDER</b> _____	<b>NAME OF LENDER*</b> _____ <b>ADDRESS (Business Address Acceptable)</b> _____ <b>BUSINESS ACTIVITY, IF ANY, OF LENDER</b> _____	
<b>INTEREST RATE</b> _____% <input type="checkbox"/> None	<b>TERM (Months/Years)</b> _____/_____	
<b>HIGHEST BALANCE DURING REPORTING PERIOD</b> <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	<input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	
<input type="checkbox"/> Guarantor, if applicable	<input type="checkbox"/> Guarantor, if applicable	

# FORM 700 SCHEDULE C REMINDERS

## Income, Loans, and Business Positions

- Sources of income of \$500 or more
- Need not report governmental salary
- Income from businesses and non-profits
- Income from sale of property (home, car etc.)
- Source of income consideration: Entity conducts business within the city
- Do not double report business ownership as employment

SCHEDULE C Income, Loans, & Business Positions (Other than Gifts and Travel Payments)		CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION Name _____
<b>1. INCOME RECEIVED</b>		
<b>NAME OF SOURCE OF INCOME</b> _____ <b>ADDRESS (Business Address Acceptable)</b> _____ <b>BUSINESS ACTIVITY, IF ANY, OF SOURCE</b> _____ <b>YOUR BUSINESS POSITION</b> _____		<b>NAME OF SOURCE OF INCOME</b> _____ <b>ADDRESS (Business Address Acceptable)</b> _____ <b>BUSINESS ACTIVITY, IF ANY, OF SOURCE</b> _____ <b>YOUR BUSINESS POSITION</b> _____
<b>GROSS INCOME RECEIVED</b> <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> No Income - Business Position Only <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000		<b>GROSS INCOME RECEIVED</b> <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> No Income - Business Position Only <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000
<b>CONSIDERATION FOR WHICH INCOME WAS RECEIVED</b> <input type="checkbox"/> Salary <input type="checkbox"/> Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.) <input type="checkbox"/> Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.) <input type="checkbox"/> Sale of _____ (Real property, car, boat, etc.) <input type="checkbox"/> Loan repayment <input type="checkbox"/> Commission or <input type="checkbox"/> Rental Income, list each source of \$10,000 or more _____ (Describe) <input type="checkbox"/> Other _____ (Describe)		<b>CONSIDERATION FOR WHICH INCOME WAS RECEIVED</b> <input type="checkbox"/> Salary <input type="checkbox"/> Spouse's or registered domestic partner's income (For self-employed use Schedule A-2.) <input type="checkbox"/> Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.) <input type="checkbox"/> Sale of _____ (Real property, car, boat, etc.) <input type="checkbox"/> Loan repayment <input type="checkbox"/> Commission or <input type="checkbox"/> Rental Income, list each source of \$10,000 or more _____ (Describe) <input type="checkbox"/> Other _____ (Describe)
<b>2. LOANS RECEIVED OR OUTSTANDING DURING THE REPORTING PERIOD</b>		
* You are not required to report loans from commercial lending institutions, or any indebtedness created as part of a retail installment or credit card transaction, made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:		
<b>NAME OF LENDER*</b> _____ <b>ADDRESS (Business Address Acceptable)</b> _____ <b>BUSINESS ACTIVITY, IF ANY, OF LENDER</b> _____		<b>INTEREST RATE</b> _____% <input type="checkbox"/> None <b>TERM (Months/Years)</b> _____
<b>HIGHEST BALANCE DURING REPORTING PERIOD</b> <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000		<b>SECURITY FOR LOAN</b> <input type="checkbox"/> None <input type="checkbox"/> Personal residence <input type="checkbox"/> Real Property _____ Street address _____ City _____ <input type="checkbox"/> Guarantor _____ <input type="checkbox"/> Other _____ (Describe)

# FORM 700 SCHEDULE D REMINDERS

## Income – Gifts

- Report gift(s) with cumulative value of \$50 or more
- Gift limit – Not more than \$470 in a calendar year from a single source
- Common exceptions
  - Gifts from family members
  - Gifts of informational material (example: conference admission)

Learn more online:  
[Gifts and Travel page](#)

SCHEDULE D Income – Gifts			CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION Name _____		
<b>NAME OF SOURCE (Not an Acronym)</b> _____ <b>ADDRESS (Business Address Acceptable)</b> _____ <b>BUSINESS ACTIVITY, IF ANY, OF SOURCE</b> _____			<b>NAME OF SOURCE (Not an Acronym)</b> _____ <b>ADDRESS (Business Address Acceptable)</b> _____ <b>BUSINESS ACTIVITY, IF ANY, OF SOURCE</b> _____		
<b>DATE (mm/dd/yy)</b> ____/____/____	<b>VALUE</b> \$ _____	<b>DESCRIPTION OF GIFT(S)</b> _____	<b>DATE (mm/dd/yy)</b> ____/____/____	<b>VALUE</b> \$ _____	<b>DESCRIPTION OF GIFT(S)</b> _____
____/____/____	\$ _____	_____	____/____/____	\$ _____	_____
____/____/____	\$ _____	_____	____/____/____	\$ _____	_____
<b>NAME OF SOURCE (Not an Acronym)</b> _____ <b>ADDRESS (Business Address Acceptable)</b> _____ <b>BUSINESS ACTIVITY, IF ANY, OF SOURCE</b> _____			<b>NAME OF SOURCE (Not an Acronym)</b> _____ <b>ADDRESS (Business Address Acceptable)</b> _____ <b>BUSINESS ACTIVITY, IF ANY, OF SOURCE</b> _____		
<b>DATE (mm/dd/yy)</b> ____/____/____	<b>VALUE</b> \$ _____	<b>DESCRIPTION OF GIFT(S)</b> _____	<b>DATE (mm/dd/yy)</b> ____/____/____	<b>VALUE</b> \$ _____	<b>DESCRIPTION OF GIFT(S)</b> _____
____/____/____	\$ _____	_____	____/____/____	\$ _____	_____
____/____/____	\$ _____	_____	____/____/____	\$ _____	_____
<b>NAME OF SOURCE (Not an Acronym)</b> _____ <b>ADDRESS (Business Address Acceptable)</b> _____ <b>BUSINESS ACTIVITY, IF ANY, OF SOURCE</b> _____			<b>NAME OF SOURCE (Not an Acronym)</b> _____ <b>ADDRESS (Business Address Acceptable)</b> _____ <b>BUSINESS ACTIVITY, IF ANY, OF SOURCE</b> _____		
<b>DATE (mm/dd/yy)</b> ____/____/____	<b>VALUE</b> \$ _____	<b>DESCRIPTION OF GIFT(S)</b> _____	<b>DATE (mm/dd/yy)</b> ____/____/____	<b>VALUE</b> \$ _____	<b>DESCRIPTION OF GIFT(S)</b> _____
____/____/____	\$ _____	_____	____/____/____	\$ _____	_____
____/____/____	\$ _____	_____	____/____/____	\$ _____	_____

# FORM 700 SCHEDULE E REMINDERS

## Income - Gifts of Travel Payments, Advances, and Reimbursements

- Need not report gifts from family members
- Need not report travel paid for by the City to carry out your official duties

Learn more online:  
[Gifts and Travel page](#)

SCHEDULE E Income – Gifts Travel Payments, Advances, and Reimbursements		CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION Name _____
<ul style="list-style-type: none"><li>• Mark either the gift or income box.</li><li>• Mark the "501(c)(3)" box for a travel payment received from a nonprofit 501(c)(3) organization or the "Speech" box if you made a speech or participated in a panel. These payments are not subject to the gift limit, but may result in a disqualifying conflict of interest.</li><li>• For gifts of travel, provide the travel destination.</li></ul>		
<p>▶ NAME OF SOURCE (Not an Acronym) _____</p> <p>ADDRESS (Business Address Acceptable) _____</p> <p>CITY AND STATE _____</p> <p><input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____</p> <p>DATE(S): ____/____/____ • ____/____/____ AMT: \$ _____ (if gift)</p> <p>▶ MUST CHECK ONE: <input type="checkbox"/> Gift -or- <input type="checkbox"/> Income</p> <p><input type="checkbox"/> Made a Speech/Participated in a Panel _____</p> <p><input type="checkbox"/> Other - Provide Description _____</p> <p>▶ If Gift, Provide Travel Destination _____</p>	<p>▶ NAME OF SOURCE (Not an Acronym) _____</p> <p>ADDRESS (Business Address Acceptable) _____</p> <p>CITY AND STATE _____</p> <p><input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____</p> <p>DATE(S): ____/____/____ • ____/____/____ AMT: \$ _____ (if gift)</p> <p>▶ MUST CHECK ONE: <input type="checkbox"/> Gift -or- <input type="checkbox"/> Income</p> <p><input type="checkbox"/> Made a Speech/Participated in a Panel _____</p> <p><input type="checkbox"/> Other - Provide Description _____</p> <p>▶ If Gift, Provide Travel Destination _____</p>	
<p>▶ NAME OF SOURCE (Not an Acronym) _____</p> <p>ADDRESS (Business Address Acceptable) _____</p> <p>CITY AND STATE _____</p> <p><input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____</p> <p>DATE(S): ____/____/____ • ____/____/____ AMT: \$ _____ (if gift)</p> <p>▶ MUST CHECK ONE: <input type="checkbox"/> Gift -or- <input type="checkbox"/> Income</p> <p><input type="checkbox"/> Made a Speech/Participated in a Panel _____</p> <p><input type="checkbox"/> Other - Provide Description _____</p> <p>▶ If Gift, Provide Travel Destination _____</p>	<p>▶ NAME OF SOURCE (Not an Acronym) _____</p> <p>ADDRESS (Business Address Acceptable) _____</p> <p>CITY AND STATE _____</p> <p><input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____</p> <p>DATE(S): ____/____/____ • ____/____/____ AMT: \$ _____ (if gift)</p> <p>▶ MUST CHECK ONE: <input type="checkbox"/> Gift -or- <input type="checkbox"/> Income</p> <p><input type="checkbox"/> Made a Speech/Participated in a Panel _____</p> <p><input type="checkbox"/> Other - Provide Description _____</p> <p>▶ If Gift, Provide Travel Destination _____</p>	
Comments: _____		

# QUESTIONS ABOUT YOUR FORM 700?

For specific questions regarding your filing please consult:

- The Ethics Commission – [ethics.commission@sfgov.org](mailto:ethics.commission@sfgov.org) or (415) 252-3100
- The Fair Political Practices Commission (FPPC) - (866) 275-3772 (866-ASK-FPPC)
- Deputy City Attorney assigned to your department

**Q&A**

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**Thank you**

**San Francisco Ethics Commission**

**25 Van Ness Avenue, Suite 220**

**San Francisco, CA 94102**

**(415) 252-3100**

**[www.sfethics.org](http://www.sfethics.org)**



## Frequently Asked Questions from Recent Ethics Commission Form 700 Filer Information Sessions

This FAQ presents answers to a range of questions posed by Form 700 filers at recent Ethics Commission Form 700 Filer Information Sessions. It is provided as general guidance on some commonly asked questions. For additional information or specific guidance based on your particular circumstances, please contact the Ethics Commission's Education and Compliance team at 415.252.3100 or by email at [ethics.commission@sfgov.org](mailto:ethics.commission@sfgov.org).



### 1. Who are filing officers? What do they help with?

Departmental filing officers are individuals assigned by a Department head or that person's designee to help administer the Form 700 filing processes for that department. Filing officers disseminate filing forms and instructions to their department's officers and employees and collect and provide public access to filed statements. For reference, a [list of departmental filing officers](#) appears on the Ethics Commission's website. If you need further assistance, please contact the Ethics Commission.

### 2. What is a disclosure category and how do I determine my disclosure category?

Disclosure categories identify the types of economic interests that persons required to file a Form 700 may need to disclose. **Before you start filling your Form 700, you should determine what disclosure category applies to your position.** These categories are assigned by each department based on the duties of your position. You can look up your disclosure category in the [San Francisco Campaign and Governmental Conduct Code](#). You can also contact your filing officer or the Ethics Commission for assistance in determining your disclosure category. For example, if your disclosure category does not require you to report investments in certain business sectors, then you would not need to report such investments on your Form 700.

### 3. My disclosure category requires me to report real property I own in the City. Do I have to report my personal residence, or is that always excluded?

Your personal residence is not required to be disclosed unless:

- you claim a business deduction for a portion of your home, if the portion claimed as a tax deduction is valued at \$2,000 or more; or
- you rent out a portion of your home.

### 4. My disclosure category requires me to report gifts from any source. Do I have to report gifts that I received from my family?

In general, you only need to report sources of gifts worth \$50 or more, or multiple gifts that are worth \$50 or more from a single source. But you do not need to report gifts – regardless of value – from family members. For the purpose of this exception, family members include your spouse or former spouse; child or step-child; parent; grandparent; grandchild; brother; sister; current or former parent-in-law, brother-in-law, or sister-in-law; nephew; niece; aunt or uncle; including grand nephew, grand niece, grand aunt, or grand uncle, or first cousin including first cousin once removed or the spouse, or former spouse, of any such person other than a former in-law.

**5. My disclosure category requires me to report gifts from any source. But do I have to report gifts from non-profit organizations?**

There is no general exception for gifts from non-profit organizations. But to be reportable, you would need to have received a gift worth \$50 or more, or multiple gifts that total \$50 or more from a single non-profit.

**6. How do I find out whether a company is doing business in the City, for Form 700 reporting purposes?**

A business entity is doing business in your agency's jurisdiction if the entity has business contacts on a regular or substantial basis with a person who maintains a physical presence in your jurisdiction. Business contacts include, but are not limited to, manufacturing, distributing, selling, purchasing, or providing services or goods. Business contacts do not include marketing via the Internet, telephone, television, radio, or printed media. The same criteria are used to determine whether an individual, organization, or other entity is doing business in your jurisdiction.

**7. My disclosure category requires me to report investments in businesses that "do business" in the City. Do I have to report my investments in mutual funds?**

Even if some of the underlying holdings in a mutual fund operate in San Francisco, you are not required to report investments in diversified mutual funds. A diversified mutual fund is a portfolio of stocks, bonds, or money market instruments that is managed by an investment company and pools the money of many individuals together. A typical diversified mutual fund will own between 75 to 100 separate securities at any given time.

**8. I was married only during a portion of the reporting period, but am now not married. Do I need to report my spouse's financial interests for the period we were married?**

Yes. Subject to your disclosure category, Form 700s require that you report the financial interests held by you, your spouse, and any dependent children during the reporting period. If you were married during the reporting period, then you must generally disclose the financial interests held by your spouse during that time (again, if required by your disclosure category).

**9. My disclosure category requires me to disclose income from any source. I rent a room in my house for short-term rentals, and after such rentals, I receive a check each month from the third-party rental company that finds and places the short-term tenants. I do not directly receive payment from such tenants. What or who do I need to report as the source of any income from short-term rentals?**

The actual source of rental income (i.e., the tenant) may need to be reported on Schedule C if he/she paid \$500 or more for your short-term rental unit. But bear in mind that such renters would be reportable only if they have "regular business contacts" in San Francisco (see question 6 above). So, for example, short-term tenants who routinely visit San Francisco for business would likely need to be reported if they satisfy the \$500 threshold.

**10. Are there any confidentiality provisions that apply if I own a business that provides medical services to individual clients? Can I keep the clients' names confidential?**

The Fair Political Practices Commission (FPPC) has established a process by which Form 700 filers may seek guidance about such confidentiality issues. That process is set forth in [FPPC regulation 18740](https://www.fppc.org/regulation/18740). If you believe that your Form 700 raises confidentiality concerns, you should contact the Ethics Commission and the FPPC as soon as possible to allow sufficient time for this process.

**11. Are there designated employees who are required to file Ethics and Sunshine training certificates?**

No. Only elected officials, department heads, and members of boards and commission must file Ethics and Sunshine training certificates. By City policy issued by the Mayor and the Department of Human Resources in 2016, some employees who are involved in procurement and purchasing are now required by City policy to take ethics training. But these employees are not required to file Ethics training certificates with the Ethics Commission.

**12. I recently changed positions within the City. In my former position, I filed a Form 700, and in my new one, I will also file a Form 700. Do I need to file an assuming office Form 700 upon taking the new position?**

In such a situation, you are neither “assuming” nor “leaving” an office for Form 700 purposes. But on your next annual Form 700, you would be required to disclose:

- interests made reportable by your original disclosure category that were held or received at any time during the period from the beginning of the reporting period to the transfer date; and
- interests made reportable by your new disclosure category that were held or received at any time during the period from the date of the transfer through the end of the reporting period.

**13. How long are paper copies of Form 700 retained in department’s files?**

The law requires Form 700s to be retained for seven years.

**14. Do I need to file Form 700 if my position is not listed in the City’s Conflict of Interest Code?**

State law requires individuals to file a Form 700 when their position is designated in a jurisdiction’s Conflict of Interest Code (in San Francisco, [Article III, Chapter 1 of the Campaign and Governmental Conduct Code](#)). By policy, some departments may also ask other employees to file economic interest statements. Questions about financial disclosure policies that may apply to persons other than designated filers should be directed to your department head or departmental filing officer.

**15. As a designated employee, why can’t I file my Form 700 electronically?**

Currently, only elected City officials, department heads, board members and commissioners can file their statements electronically. In the coming year, the Ethics Commission will be proposing a change in the law to extend electronic filing to all designated filers to enable everyone to take advantage of online filing technology for their Form 700 filing requirements.

**16. Where do late fees go?**

Form 700 statements filed late are subject to a late fee of **\$10 per day per position, up to a maximum of \$100**. Late fees are deposited into the City’s General Fund.

**17. Who has authority to levy discipline or other penalties for a failure to file a required Form 700?**

Your department may discipline you for failing to file a Form 700. In addition, the Ethics Commission and/or the Fair Political Practices Commission may take steps to initiate an enforcement action against a filer who is more than 30 days late in filing Statement of Economic Interest (Form 700). Under state law, failure to file a Form 700 can subject the filer to a fine of up to \$5,000 per violation. In addition, willful failure to file may be a misdemeanor and non-filers may also be subject disciplinary action ([San Francisco Campaign and Governmental Conflict of Interest Code Section 3.1-102.5](#)).

