



# San Francisco Ethics Commission

**STATEMENT OF ECONOMIC INTERESTS – FORM 700  
2019 ANNUAL FILING**

**Filing Officer Information Session**

# AGENDA

- Overview - Statement of Economic Interests
- Filing Officer Duties
- Form 700 Overview
- New Laws
- Filer Support and Resources


**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



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](#)

# FORM 700 FILING REQUIREMENTS AND DUE DATES

- Assuming Office – Within 30 days
- Annual – Apr 2<sup>nd</sup> 2019\* (*date change due to State holiday this year*)
- Leaving Office – Within 30 days

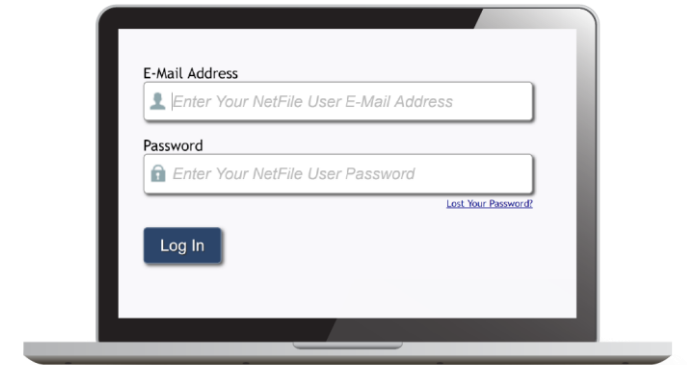
**\*Exception:** If you assumed office between Oct 1 2018 and April 1 2019, and filed an assuming office Form 700, you do not need to file annual Form 700 until April 1 2020.

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

# FILING 2019 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:

[2019 Annual Form 700 Filing Requirements Page](#)

# FILING 2019 ANNUAL FORM 700 ON PAPER

## Designated Employees

- Complete and sign Form 700 on paper
- Submit the completed form to the Filing Officer by due date

The image shows the cover page of California Form 700, titled 'STATEMENT OF ECONOMIC INTERESTS COVER PAGE'. It is a public document from the Fair Political Practices Commission. The form includes fields for the filer's name (last, first, middle), office or court information, jurisdiction (state, multi-county, city, judge or court commissioner, county, or other), and type of statement. It also has a date and initial filing received stamp.

**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)

Learn more online:

[2019 Annual Form 700 Filing Requirements page](#)



# ETHICS & SUNSHINE TRAINING

For Elected Officials, Departments Heads, Board Members and Commissioners

Ethics and Sunshine Ordinance Declaration Form

- Due Monday, Apr 1<sup>st</sup> 2019
- Filed Electronically via NetFile

Learn more online:  
[Ethics and Sunshine Training 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

# FILING OFFICER DUTIES

# FIRST THINGS FIRST!

- Notify the Ethics Commission regarding contact changes  
(via *Department Contact Information Form*)
  - Department Head
  - Filing Officer
- Know Who Files
  - Conflict of Interest Code
  - Filer Disclosure Category

Learn more online:  
[Filing Officer Duties](#)

## DISTRIBUTE FORMS AND RESOURCES TO FILERS

- Notify individuals regarding filing obligations and due dates
  - Form 700 – Paper, Electronic
  - Ethics and Sunshine Training Declaration Form – Electronic
- Provide compliance resources to filers
  - Online resources available at [Ethics Commission](#) and [FPPC](#)
  - Filer information session schedule

Learn more online:  
[Filing Officer Duties](#)

## ASSIST FILERS AND COLLECT COMPLETED FORMS

- Assist filers with questions regarding filing requirements and due dates
- For further assistance direct filers to the Ethics Commission
- Ensure that statements are filed timely
- Notify filers of filing errors and late statements
- Collect and retain completed forms for public access

Learn more online:  
[Filing Officer Duties](#)

# FILING OFFICER FORMS TO ETHICS COMMISSION

- Confirm that you have notified all filers (City officials and designated employees) regarding their filing obligations
  - *Certification of Delivery* – Due Friday March 15, 2019
  - File electronically via DocuSign
- Provide information about those who have not filed timely (only designated employees)
  - *Filing Officer Report* – Due Wednesday April 10, 2019
  - Will be converted to an electronic form (via DocuSign) by April

Learn more online:  
[Filing Officer Duties](#)

## FILING OFFICER DUTIES - YEAR-ROUND

- Assuming and Leaving Office forms must be filed by all filers
  - City officials (electronic)
  - Designated filers (on paper with the department)
- Submit *Notice of Appointment & Resignation Form* with the Ethics Commission for electronic filers (to enable filer account setup)
  - Gather filer's **business** contact information
- Provide filing instructions and resources to filers
- Ensure that statements are filed timely

Learn more online:  
[Filing Officer Duties](#)



## 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](#)

# NON-FILER DISQUALIFICATION - BOARDS AND COMMISSIONS

- Members of City Boards and Commissions who fail to file Form 700 and/or Sunshine/Ethics Declarations by the deadline are disqualified from participating in or voting on matters listed on their boards' and commissions' meeting agendas until the filing requirements are met.

Learn more online:

[SF C&GCC Sec. 3.1-102.5\(c\)](#)

## AMENDMENTS TO FILED FORM 700

- Amend the form electronically or on paper depending on the original filing
- Amendments can be made to current or prior years' filings
- Contact the Ethics Commission for questions

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

# FORM 700 REVIEW

## FORM 700 GENERAL REMINDERS

- Reporting period for 2019 annual filing: 1/1/2018 to 12/31/2018
- Filer's position and disclosure category will determine reportable financial interests
- Reportable financial interests include filer's own and those of filer's spouse/partner. They also include interests of dependent children.

# 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.

AMERICAN LEGAL Publishing Corporation

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<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>	Ethics Commission
<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 its enactment.

# HOW TO FIND YOUR DISCLOSURE CATEGORY

- View the disclosure category and description for the position (Note: description for disclosure category I is under 3.1-107)
- Filing Officers/Department Heads are the points of contact for questions



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Publishing Corporation

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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
- 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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**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, in employee, or holds any position of management."

(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)

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

Unless otherwise stated in this Chapter, consultants for departments and agencies covered by this Chapter shall provide, however, that the director of the department or agency for which a consultant works may determine to disclose economic interests in a disclosure category other than Disclosure Category 1 because the consultant 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)

**SEC. 3.1-109. REPEALED**

# 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.

☐ 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.

☐ Assuming Office: Date assumed \_\_\_\_/\_\_\_\_/\_\_\_\_

☐ 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 \_\_\_\_\_ Signature \_\_\_\_\_  
(month, day, year) (File the originally signed statement with your filing official)



# FORM 700 SCHEDULES

- 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

**NEW LAWS**

# BEHESTED PAYMENTS REPORTING

- Elected Officials
  - Per State law, officials must file FPPC Form 803 with their agency for payments of \$5,000 or more, and forward a copy to the Ethics Commission
  - Per City law, officials must e-file SFEC Form 3610b with the Ethics Commission for certain payments of \$1,000 or more (*New filing requirement effective 1/1/2019*)
- Members of City Boards and Commissions
  - Per City law, officials must e-file SFEC Form 3610b with the Ethics Commission for certain payments of \$1,000 or more (*New requirements effective 1/1/2019*)
- Additional filing requirements for Donors and Recipients of behested payments (*New requirements effective 1/1/2019*)
- For details visit [Behested Payments](#) and [SF Campaign & Governmental Conduct Code Sec. 3.600 et seq.](#)

# RECUSAL NOTIFICATION

- Any member of a City board or commission who has a conflict of interest or who must recuse himself or herself from a proceeding shall in the public meeting of the board or commission prior to the consideration of the matter:
  - Publicly identify the circumstances, recuse himself or herself, and leave the room until after the consideration of the matter
- Recusal Notification
  - File a notification form for each recusal
  - File the form along with a copy of the meeting agenda with the Ethics Commission
  - File within 15 calendar days after the date of the meeting at which the recusal occurred
- For more details visit [SF Campaign & Governmental Conduct Code Sec. 3.209](#)

# GIFTS AND CONFLICT OF INTEREST RULES

- Annual gift limit for City officials and employees
  - \$470 until December 31, 2018 (for 2019 annual Form 700 reporting period)
  - Increases to \$500 for 2019 and 2020
- New Conflict-of-Interest Rules for Elective Officers and Members of City Boards and Commissions

# **FILED SUPPORT & RESOURCES**

## SUPPORT & RESOURCES

### ■ Filer Assistance

- Filing Officer for the 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)

## FILER INFORMATION SESSIONS

- **Session FI-1:** Wednesday, **February 20<sup>th</sup> 2019** - 1:30 PM to 2.30 PM  
City Hall, Room 421
- **Session FI-2:** Monday, **March 20<sup>th</sup> 2019** – 1:30 PM to 2.30 PM  
City Hall, Room 421

[Online form](#) to sign up for the information sessions



# MORE INFORMATION ON OUR WEBSITE – SFETHICS.ORG



City & County of San Francisco

Ethics Commission

Commission

Compliance

Disclosures

Enforcement

Laws

E-File

Q

Home

Compliance

City Officers

Statement of Economi...

Statement of Economic Interests (Form 700)

City officers and designated employees are required to disclose reportable financial interests by filing Statement of Economic Interests (SEI), also known as [Fair Political Practices Commission \(FPPC\) 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. The Political Reform Act of 1974 prohibits public officials from using their official position to influence a governmental decision in which they have reason to know they have a financial interest (Gov. Code, § 87100).

2019 Annual Form 700 due Tuesday, April 2 2019, and Ethics and Sunshine Training Declaration Form due Monday, April 1 2019. [Learn More.](#)

File SEI – FPPC Form 700



Designated Employees: File [Hard Copy Form 700](#) with your filing officer. Learn more about [how to file Form 700](#).



Elected Officials, Department Heads, Board Members and Commissioners: File your Form 700 online. Learn more about [how to file Form 700](#).

E-File Form 700

E-File Account Setup | Password Reset

Ethics & Sunshine Training



- Elected Officials, Department Heads, Board Members and Commissioners need to fulfill [Ethics and Sunshine training requirements](#).
- Watch Ethics and Sunshine [Online Training](#)
- E-File [Ethics and Sunshine Training Declaration Form](#)

Compliance

Campaigns

City Officers

Statement of Economic Interests (Form 700)

How to File Form 700

Form 700 Filing Deadlines

E-File Account Setup

Form 700 Filing Support

Late Filing and Enforcement

Filing Officer Duties

Behested Payments

Conflict of Interest

City Contracts

Ethics and Sunshine Training

Gifts and Travel

Incompatible Activities

Lobbyists

Campaign Consultants

Major Developers

Permit Consultants

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# Thank you

**San Francisco Ethics Commission**  
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**(415) 252-3100**  
**[www.sfethics.org](http://www.sfethics.org)**