



# San Francisco Ethics Commission

## STATEMENT OF ECONOMIC INTERESTS – FORM 700

Filer Information Session (FI-1)

February 17, 2021

*For Elected Officials, Department Heads, Board Members and Commissioners (E-Filers)*

# AGENDA

- Overview - Statement of Economic Interests
- Form 700 and Schedules
- Additional Filing Requirements for City Officials
- 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 – April 1 2021
- Leaving Office – Within 30 days

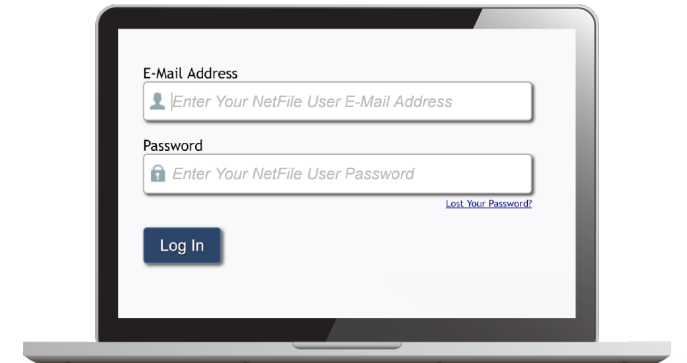
**\*Exception:** If you assumed office between Oct 1 2020 and April 1 2021, and filed an assuming office Form 700, you do not need to file annual Form 700 until April 1 2022.

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

# FILING 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:

[2021 Annual Form 700 Filing Requirements Page](#)

# FILING ANNUAL FORM 700 ON PAPER

**FYI** -- Designated Employees only!

- Complete and sign Form 700 on paper
- Electronic filing on the horizon

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' field. The 'NAME OF FILER' is split into (LAST), (FIRST), and (MIDDLE) sections. 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.



## 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

## 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](#)

## FAILURE TO FILE

- **Potential Discipline** -- Failure to file within 30 days after receiving notice from the Ethics Commission may result in disciplinary action by the Appointing Authority, including removal from office
- **Required Disqualification** – Non-Filers are disqualified from all participation in and voting on matters listed on their boards' and commissions' meeting agenda
- **Public Announcement** – required at each meeting of the board or commission
- **Reinstatement** – automatic upon filing of the delinquent statement(s)

# AMENDMENTS TO ELECTRONICALLY FILED FORM 700

- Important -- Amend the original filing
- Only the amended page(s) will be visible (not the entire original filing)
- Amendments can be made to current or prior years' filings
- Contact department's filing officer or the Ethics Commission for questions

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

# FORM 700 AND SCHEDULES

## ABOUT THE DISCLOSURE CATEGORY – WHY IT MATTERS

- Your Disclosure Category may only require disclosure of specific investments
- These departments have specific, limited disclosure requirements:

Asian Art Commission  
Arts Commission  
Civil Service  
Department of Elections  
Fine Arts  
Health Authority  
Human Rights Commission

Juvenile Probation Commission  
Law Library  
Residential Rent Stabilization and Arbitration Board  
War Memorial And Performing Arts Center  
Status of Women, Department on the  
Workforce Investment Board

## CONFLICT OF INTEREST CODE REVIEW

- Biennial (every two year) review process
- Conducted by the Clerk of the Board of Supervisors, Ethics Commission, and City Attorney's Office
- Subject to approval by the Board of Supervisors
- Current amendment becomes **operative 2/21/2021**

# 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'.

AMERICAN LEGAL Publishing Corporation

TOC ADA Compatible View

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California

- San Francisco Charter
- San Francisco Administrative Code
- San Francisco Business and Tax Regulations Code
- San Francisco Campaign and Governmental Conduct Code
- 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 (BIC)
- Comprehensive Ordinance List

Sec. 3.1-215. Elections, Department of.

Sec. 3.1-218. Emergency Management, Department of.

Sec. 3.1-225. Environment, Department of the.

**Sec. 3.1-230. Ethics Commission**

Sec. 3.1-240. Film Commission.

Sec. 3.1-242. Finance Corporation.

Sec. 3.1-245. Fine Arts Museums.

Sec. 3.1-250. Fire Department.

Sec. 3.1-251. General Services Agency – City Administrator.

Sec. 3.1-252. General Services Agency – Public Works.

Sec. 3.1-253. General Services Agency – Technology, Department of.

Sec. 3.1-255. Golden Gate Park Concourse Authority.

Sec. 3.1-260. Health Authority.

Sec. 3.1-267. 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 the position (Note: description for disclosure category I is under 3.1-107)
- Filing Officers/Department Heads are the points of contact for questions

AMERICAN LEGAL  
Publishing Corporation

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ADA Compatible View

Document Search Results Print Save Email Help

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

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

**Disclosure Category 2.** Persons in this category shall disclose any investments in, business position, or interest in, any business, profession, or occupation, including but not limited to, computer hardware or software companies, computer 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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[Document] [Search] [Results] [Print] [Save] [Email] [Help]

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

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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's work is based upon that description, a statement of the extent of disclosure requirements. The determination shall be made by the director.

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

### SEC. 3.1-109. REPEALED

## FORM 700 GENERAL REMINDERS

- Reporting period for 2021 annual filing: 1/1/2020 to 12/31/2020
- 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.

# FORM 700 COVER PAGE

- Inform the Ethics Commission of contact information
  - Redacted online
  - Available upon request
- NetFile will indicate which schedules contain disclosures
- The form will be signed electronically once submitted

**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)

# 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

## 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

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# 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
- 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	
<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>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"/> Guarantor, if applicable	<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"/> 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"/> \$1,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	<input type="checkbox"/> No Income - Business Position Only <input type="checkbox"/> \$1,001 - \$10,000 <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>				
<p>* 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:</p>				
<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>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)	<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		



# FORM 700 SCHEDULE D REMINDERS

## Income – Gifts

- Report gift(s) with cumulative value of \$50 or more
- Gift limit – Not more than \$500\* in 2020 from a single source
- Common exceptions
  - Gifts from family members
  - Gifts of informational material (example: conference admission)

*\*Gift limit is \$520 beginning January 1, 2021*

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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: _____		

# **ADDITIONAL FILING REQUIREMENTS FOR CITY OFFICIALS**

# BEHESTED PAYMENTS

- Elected Officials
  - Per State law, elected officials must file FPPC Form 803 with their agency for payments of \$5,000 or more made at the official's behest, and forward a copy to the Ethics Commission
  - Per City law, elected officials must e-file SFEC Form 3610b with the Ethics Commission for certain behested payments of \$1,000 or more
- Members of City Boards and Commissions and **Department Heads (eff. 9/24/2020)**
  - Per City law, officials must e-file SFEC Form 3610b with the Ethics Commission for certain payments of \$1,000 or more
  - Additional filing requirements for Donors and Recipients of behested payments
- 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
  - Electronically file Form SFEC-3.209 with the Ethics Commission for each recusal along with a copy of the meeting agenda
  - 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

# GIFT RULES

- Annual gift limit for City officials and employees
  - \$500 for 2020 annual Form 700 reporting period
  - Increased to \$520 for 2021 and 2022
- Other gift laws
  - Restricted source rule (\$25 gift limit)
  - Gifts from subordinates (generally prohibited)

# CONFLICT OF INTEREST RULES

- For more information regarding gifts and conflict of interest rules, refer to:
  - Conflict-of-Interest Rules for Elective Officers and Members of City Boards and Commissions
  - City Attorney's Good Government Guide
  - Your department's Statement of Incompatible Activities (SIA)

# **FILER SUPPORT & RESOURCES**



## SUPPORT & RESOURCES

### ■ Filer Assistance

- Filing Liaison 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)

# 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 Economic...

## Statement of Economic Interests (Form 700)

[f](#)[t](#)[w](#)[e](#)

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 >

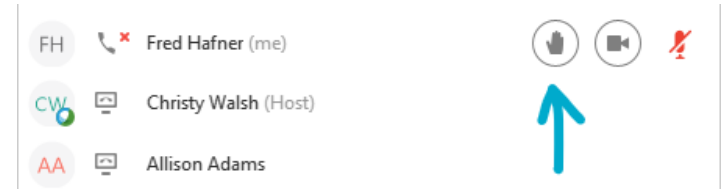
SAN FRANCISCO ETHICS COMMISSION | 2021

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# QUESTIONS?

**Raise Hand** to indicate that you have a question. Select the  icon next to your name in the participant list. Wait for the host to call your name and unmute your mic.

To **Raise Hand**, find your name on the **participant** list, and hover over your name. A **Raise Hand** icon will appear.



If you don't see participants list, click on the **Participants button** on the lower right in the WebEx window:



To **Lower Hand**, select raise hand icon again.

If calling in by phone, **Dial \*3** to raise your hand if you have a question. You will hear, “You have raised your hand to ask a question, please wait until the host calls on you.”

The line will be silent as you wait for your turn to speak.

When the system message says “**Your line has been unmuted**” this is your turn to speak.

To **Lower Hand**, Dial \*3 again.

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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)**