



San Francisco Ethics Commission

**STATEMENT OF ECONOMIC INTERESTS – FORM 700
2021 ANNUAL FILING**

Filing Officer Information Session (FO-1)

February 10, 2021

AGENDA


- Overview - Statement of Economic Interests
- Filing Officer Duties
- Form 700 Overview
- Additional Filing Requirements for City Officials
- Filer Support and Resources

- Overview - Statement of Economic Interests
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STATEMENT OF ECONOMIC INTERESTS - FORM 700

- 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 1st 2021
- Leaving Office – Within 30 days

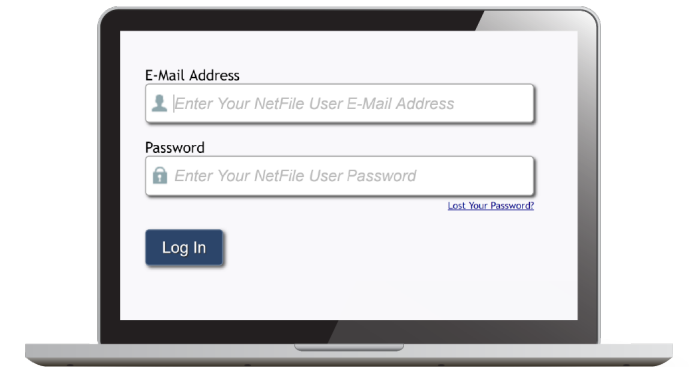
***Exception:** If filer assumed office between Oct 1 2020 and April 1 2021, and filed an assuming office Form 700, filer does not need to file annual Form 700 until April 1 2022.

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

FILING 2021 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 2021 ANNUAL FORM 700 ON PAPER

Designated Employees

- Complete and sign Form 700 on paper
- Submit the completed form to the Departmental 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 Fair Political Practices Commission. It includes a header with the form number and title, a date field for 'Date Initial Filing Received', and a section for the filer's name with fields for last, first, and middle names. Below this are sections for '1. Office, Agency, or Court' with fields for agency name, division, and position, and a section for '2. Jurisdiction of Office' with checkboxes for State, Multi-County, City of, Judge or Court Commissioner, and County of. A third section is partially visible for '3. Type of Statement'.

Learn more online:

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

ETHICS & SUNSHINE TRAINING

Elected Officials, Departments Heads, Board Members and Commissioners

Complete training via [NetFile](#) and file *Ethics and Sunshine Declaration Form*

- Due Thursday, Apr 1st 2021
- Within 30 days of Assuming Office
- Form filed electronically via NetFile

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

PUBLIC ACCESS TO FILED FORMS

- Form 700 statements filed electronically
 - Available online [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 and Ethics Training Forms
 - Available at [Online Disclosure](#) (with limited redactions)
 - Un-redacted forms are accessible to the public on request at the Ethics Commission



Questions Generally about Form 700s?

- Overview - Statement of Economic Interests
- Filing Officer Duties
- Form 700 Overview
- Additional Filing Requirements for City Officials
- Filer Support and Resources

DEPARTMENTAL CONTACTS AND FILERS

- Timely notify the Ethics Commission if departmental contacts (Department Head or Designated Filing Officer) change, to ensure that the department continues to receive critical communications from the Ethics Commission
 - Complete the Department Contact Information Form
 - Email the completed form to ethics.commission@sfgov.org
- If you currently do not receive communications from the Ethics Commission, contact ethics.commission@sfgov.org
- Know who needs to file, by reviewing the Conflict of Interest Code
 - If filer e-files with Ethics, Sections 3.1-103
 - If filer files on paper with department, Sections 3.1-108 through 3.1-457
 - Ensure that filers are aware of their 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 (all filers)
 - Ethics and Sunshine Training Forms – Electronic (City Officials)
- Provide compliance resources to filers
 - Online resources are available at [Ethics Commission](#) and [FPPC](#)
 - Ethics Commission’s filer information session details

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
- Conduct a facial review review of all filled statements; full review of 20% of statements filed annually (designated employees)
- Notify filers of filing errors and late statements
- Collect and retain completed forms for public access

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

FILING OFFICER DUTIES – ANNUAL FILING

- Confirm that you have notified all filers (City officials and designated employees) regarding their filing obligations
 - *Certification of Delivery* – Due Wednesday, March 17, 2021
 - File electronically via DocuSign
- Provide information about those who did not file by the statutory annual deadline (only designated employees)
 - *Filing Officer Report* – Due Monday, April 12, 2021
 - File electronically via DocuSign

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

FILING OFFICER DUTIES – YEAR-ROUND

- In order to add assuming/leaving Form 700 requirements in the NetFile system for electronic filers (City officials), promptly submit *Notice of Appointment & Resignation Form* with the Ethics Commission
 - Gather filer's **business** contact information and assuming/leaving date (City-issued email required)
 - Send the completed form at the earliest to ethics.commission@sfgov.org to timely setup filing requirements and allow sufficient time for filers to complete the filing
 - Ethics Commission will not be able to setup filing requirements for assuming/leaving filers without this information

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

FILING OFFICER DUTIES – YEAR-ROUND (CONT'D)

- Ensure that Assuming and Leaving Office Form 700s are filed within 30 days of assuming/leaving office by
 - City officials (electronic with Ethics Commission)
 - Also required to complete Ethics & Sunshine training and file *Ethics and Sunshine Declaration Form* within 30 days of assuming office
 - Designated filers (on paper with the department)
- Provide filing instructions and resources to filers
- Follow-up with filers to 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 method
- Amendments can be made to current or prior years' filings
 - There are no penalties assessed for amendments

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



Questions about Filing Officer Duties?

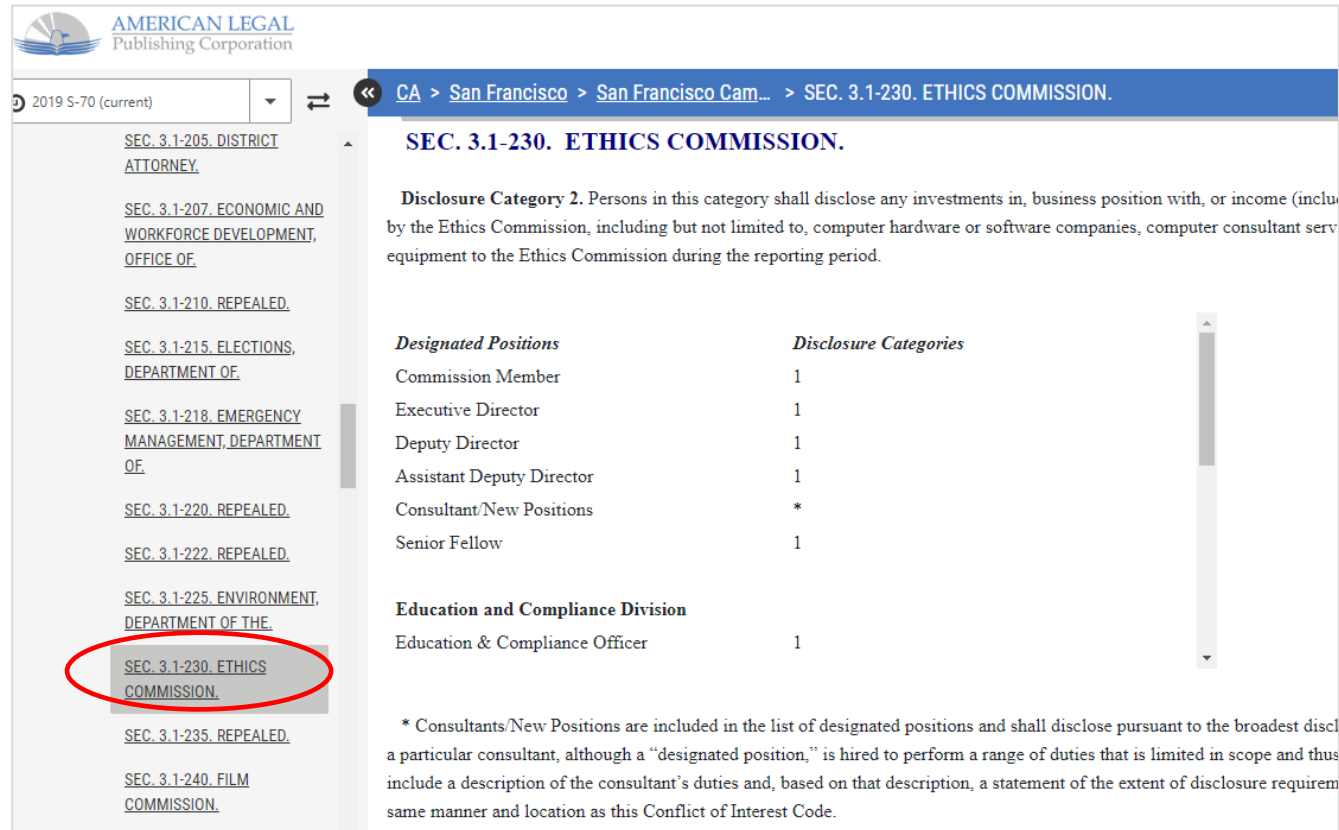
- Overview - Statement of Economic Interests
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FORM 700 GENERAL REMINDERS

- 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 as well as interests of dependent children

HOW TO FIND YOUR DISCLOSURE CATEGORY

- Visit [San Francisco Campaign & Governmental Conduct Code](#)
- Click on the section for your department



AMERICAN LEGAL Publishing Corporation

2019 S-70 (current)

CA > San Francisco > San Francisco Cam... > SEC. 3.1-230. ETHICS COMMISSION.

SEC. 3.1-230. ETHICS COMMISSION.

Disclosure Category 2. Persons in this category shall disclose any investments in, business position with, or income (including but not limited to, computer hardware or software companies, computer consultant services, and 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
Education and Compliance Division	
Education & Compliance Officer	1

* Consultants/New Positions are included in the list of designated positions and shall disclose pursuant to the broadest disclosure category applicable to a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus does not include a description of the consultant's duties and, based on that description, a statement of the extent of disclosure requirements. Consultants shall disclose in the same manner and location as this Conflict of Interest Code.

HOW TO FIND YOUR DISCLOSURE CATEGORY

- View the disclosure category and description for the position (Note: description for disclosure category 1 is under 3.1-107)
- Filing Officers/Department Heads are the points of contact for questions

The screenshot shows the American Legal Publishing Corporation website. The breadcrumb navigation at the top reads: CA > San Francisco > San Francisco Cam... > SEC. 3.1-107. DISCLOSURE CATEGORY 1. The main content area displays the following text:

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, interests in real property, investments, and all business positions in which the designated employee is a director, officer, partner, trustee, 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 be deemed designated employees for the purposes of this Chapter and shall disclose economic interests in Disclosure Category 1; provided, however, that the director of the department or agency for which a consultant works may determine in writing that the consultant is not required to comply with the disclosure requirements described in this section or is not required to disclose economic interests in a disclosure category other than Disclosure Category 1 because the consultant performs a range of duties that are limited in scope. Such a determination shall include a description of the consultant's duties and, based upon that description, a statement of the extent of disclosure requirements. The determination shall be a public record and shall be retained for public inspection in the same manner and location as statements filed under this Chapter.

(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.
 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



Questions What is Reported in a Form 700?

- Overview - Statement of Economic Interests
- Filing Officer Duties
- Form 700 Overview
- Additional Filing Requirements for City Officials
- Filer Support and Resources

BEHESTED PAYMENTS REPORTING

- 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 officials 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 (effective 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](#)

GIFTS AND CONFLICT OF INTEREST RULES

- Annual gift limit for City officials and employees
 - \$520 through December 31, 2022 (\$500 for 2020 Form 700 reporting period)
- 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)



Questions the Additional Filing Requirements for Electeds, Department Heads and Board Members/Commissioners?

- ☑ Overview - Statement of Economic Interests
- ☑ Filing Officer Duties
- ☑ Form 700 Overview
- ☑ Additional Filing Requirements for City Officials
- ☑ Filer Support and Resources

filer information sessions

- **Session FI-1:** Wednesday, February 17 - 1:30 PM to 2:30 PM
via WebEx
For Elected Officials, Department Heads, Board Members and Commissioners (E-Filers)
- **Session FI-2:** Wednesday, March 17 - 1:30 PM to 2:30 PM
via WebEx
For Designated Filers (Filing Hard-Copy)

Sign up at **Form 700 Filing Support**

SUPPORT & RESOURCES

■ Filer Assistance

- Designated Filing Officer/Liaison for the department
- Ethics Commission – 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
- Fair Political Practices Commission website - www.fppc.ca.gov/Form700.html

MORE INFORMATION ON OUR WEBSITE – [SFETHICS.ORG](https://www.sfethics.org)

Navigation breadcrumbs:
Compliance > City Officers > Statement of Economic Interests

The screenshot shows the website header with the City & County of San Francisco Ethics Commission logo and navigation menu. The breadcrumb trail is: Home > Compliance > City Officers > Statement of Economic Interests. The main heading is "Statement of Economic Interests (Form 700)". The content area includes an introductory paragraph, a link for the 2020 Annual Form 700 and Ethics and Sunshine Training Declaration Form due Wednesday, April 1 2020, and four main sections: "File SEI – FPPC Form 700", "Ethics & Sunshine Training", "SEI Resources", and "Information Sessions". A right-hand sidebar contains a "Compliance" menu with various sub-items. The "SEI Resources" list includes "Filing Officer Duties", which is circled in red.

City & County of San Francisco Ethics Commission

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

Home > Compliance > City Officers > Statement of Economic Interests

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).

[2020 Annual Form 700 and Ethics and Sunshine Training Declaration Form due Wednesday, April 1 2020. 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](#)

SEI Resources

- [How to File Form 700 and FPPC FAQ Guides](#)
- [Filing Deadlines](#)
- [Late Filing and Enforcement](#)
- [Filing Officer Duties](#)

Information Sessions


Attend [upcoming information sessions](#) to learn more about 2020 Annual Form 700 filing requirements.

Compliance

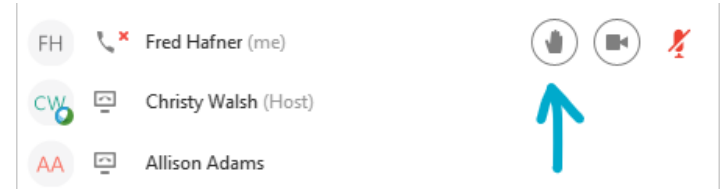
- Campaigns >
- City Officers ▾
 - Statement of Economic Interests (Form 700) ▾**
 - [How to File Form 700](#)
 - [Form 700 Filing Deadlines](#)
 - [E-File Account Setup](#)
 - [Form 700 Filing Support](#)
 - [Late Filing and Enforcement](#)
 - [Filing Officer Duties](#)
 - [Behested Payments](#)
 - [Conflict of Interest](#)
 - City Contracts >
 - [Ethics and Sunshine Training](#)
 - [Gifts and Travel](#)
 - [Incompatible Activities](#)
- [Lobbyists >](#)
- [Campaign Consultants >](#)
- [Major Developers >](#)
- [Permit Consultants >](#)
- [Behested Payments >](#)



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.



Thank you

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