



## **EAST BAY MUNICIPAL UTILITY DISTRICT**

# **2016 ELECTION**

- WARD 1 (Incumbent McIntosh)
- WARD 5 (Incumbent Linney)
- WARD 6 (Incumbent Patterson)

**Election: November 8, 2016**

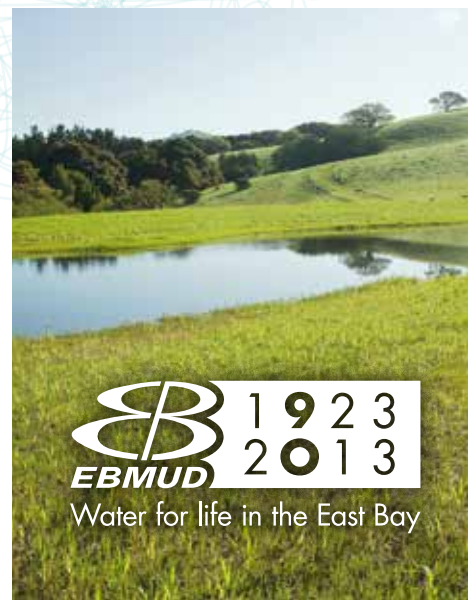


**CANDIDATE’S INFORMATION KIT**  
**East Bay Municipal Utility District**  
**Board of Directors Election – 2016**  
**(Wards 1, 5, and 6)**

---

1. Brochure – “All About EBMUD”
2. Notice of Election
3. Information about the EBMUD Board of Directors
4. Ward Descriptions – EBMUD Board of Directors and Ward Boundaries Map
5. Resolution No. 34087-16 – Candidate’s Statement
6. EBMUD Campaign Finance Reform Ordinance No. 352-10
7. Voluntary Expenditure Ceiling/Campaign Contribution Limits
8. Memorandum Regarding Completion of Forms in Compliance with EBMUD’s Campaign Finance Reform Ordinance
  - Statement Accepting Voluntary Campaign Expenditure Ceiling
  - Statement Declining Voluntary Campaign Expenditure Ceiling
  - Statement Revoking Decision Declining the Voluntary Campaign Expenditure Ceiling and Declaration that Expenditures Have Not Exceeded the Expenditure Ceiling
9. FPPC Form 700 – Statement of Economic Interests

# All About EBMUD







The East Bay Municipal Utility District is a California public utility that supplies high-quality drinking water, generates renewable energy, and provides pollution prevention and wastewater treatment services that protect San Francisco Bay.

EBMUD serves many communities on the eastern side of the San Francisco Bay. The District's water system supplies 1.3 million customers and spans a 332-square-mile area in Alameda and Contra Costa counties, extending from Crockett in the north, southward to San Lorenzo, eastward from San Francisco Bay to Walnut Creek, and south through the San Ramon Valley.

EBMUD's water system serves customers in 20 incorporated and 15 unincorporated communities. Places served include the cities and towns of Alameda, Albany, Berkeley, Danville, El Cerrito, Emeryville, part of Hayward, Hercules, Lafayette, Moraga, Oakland, Orinda, Piedmont, Pinole, part of Pleasant Hill, Richmond, San Leandro, San Pablo, San Ramon, part of Walnut Creek and the unincorporated communities of Alamo, Ashland, Blackhawk, Castro Valley,

*To manage the natural resources with which the District is entrusted; to provide reliable, high quality water and wastewater services at fair and reasonable rates for the people of the East Bay; and to preserve and protect the environment for future generations.*

—EBMUD Mission Statement

Cherryland, Crockett, Diablo, El Sobrante, Fairview, Kensington, North Richmond, Oleum, Rodeo, San Lorenzo and Selby.

The wastewater service area is smaller, covering an 88-square-mile area of Alameda and Contra Costa counties along the Bay's east shore, extending from Richmond in the north to Oakland in the south. It serves 650,000 customers. The service area includes the cities of Alameda, Albany, Berkeley, Emeryville, Oakland and Piedmont, and the Stege Sanitary District, which includes El Cerrito,

Kensington, and part of Richmond. EBMUD was formed under the California Municipal Utility District Act, which permits formation of multi-purpose government agencies to provide public services on a regional basis. In 1923, voters elected to create EBMUD to provide regional water service. In 1944, voters elected to authorize EBMUD to provide regional wastewater treatment. EBMUD is led by a Board of Directors whose seven members are publicly elected from wards (areas of comparable size) within the water service area.



# Table of Contents

Water Sources	2
Water Use and Distribution	5
Renewable Energy	7
Water Quality	8
Resource Management and Protection	10
The Wastewater System	12
Budget, Rates and Workforce	16



# Water Sources

EBMUD's primary water supply is from the Mokelumne River. Local runoff to East Bay reservoirs supplements that supply, and Sacramento River water is available when needed during dry years. By helping customers conserve and use recycled water, EBMUD stretches existing supplies.

## Central Sierra Supply

On average, 90 percent of the water used by EBMUD comes from the protected watershed of the Mokelumne River. The watershed is on the western slope of the Sierra Nevada and collects melted snow from Alpine, Amador and Calaveras counties. This area is primarily national forest, EBMUD-owned lands and other undeveloped lands little affected by human activity.

**Mokelumne Watershed** The Mokelumne River drains over 627 square miles of mountains and foothills above Camanche Dam. The watershed elevation ranges from 235 feet at the dam to 10,000 feet in the headwater region.

**Mokelumne Water Rights** EBMUD has water rights for up to 325 million gallons (997 acre-feet) daily from the Mokelumne River, a total of 364,000 acre-feet per year. EBMUD stores water in Pardee and Camanche Reservoirs, both in the Mokelumne River watershed.

**Pardee** Pardee Dam collects water from 578 square miles of the Mokelumne watershed in Pardee Reservoir near the town of Valley Springs. EBMUD is licensed to store 209,950 acre-feet per year of water supply in Pardee Reservoir. The reservoir has a capacity of 197,950 acre-feet, which is equivalent to a ten-month supply for EBMUD's 1.3 million water customers.

**Camanche** Camanche Dam, ten miles downstream from Pardee on the Mokelumne, works in tandem with Pardee. It stores water to meet the needs of fisheries, riparian habitat and downstream water-rights holders, and it provides flood control. Camanche Reservoir has a capacity of 417,120 acre-feet of water.

## Local/Emergency Supply

Local runoff is stored in several East Bay reservoirs for treatment and delivery to customers and to assure emergency supplies are available locally. In a year of normal precipitation, EBMUD uses an average of 21 million gallons per day (MGD) of water from local watershed runoff. In dry years, enough water can be lost through evaporation to completely offset any water gained from local runoff. EBMUD can store up to 151,670 acre-feet of water in the East Bay reservoirs. EBMUD typically maintains a six-month emergency supply in local reservoirs.

Also, a local groundwater injection well (Bayside) is being used to move some water into a deep underground aquifer for storage so it can be treated and used during droughts, adding another one million gallons per day of supplemental supply.

## Sacramento River Supply

EBMUD has a contract with the U.S. Bureau of Reclamation for a supplemental water supply because during times of drought or emergency, EBMUD's Mokelumne River supply can not meet customer needs. That supplemental supply comes from the Sacramento River.

EBMUD has rights to up to 100 MGD from the Sacramento River in dry years. When needed, the water will be conveyed through the Freeport Regional Water Facility (shown at right), jointly owned by EBMUD and Sacramento County. (Sacramento County can draw up to 85 MGD year round.) EBMUD will draw water from the Freeport facility through a pipeline east to the Folsom South Canal and then move the supplies south to the Mokelumne aqueducts into EBMUD's system.

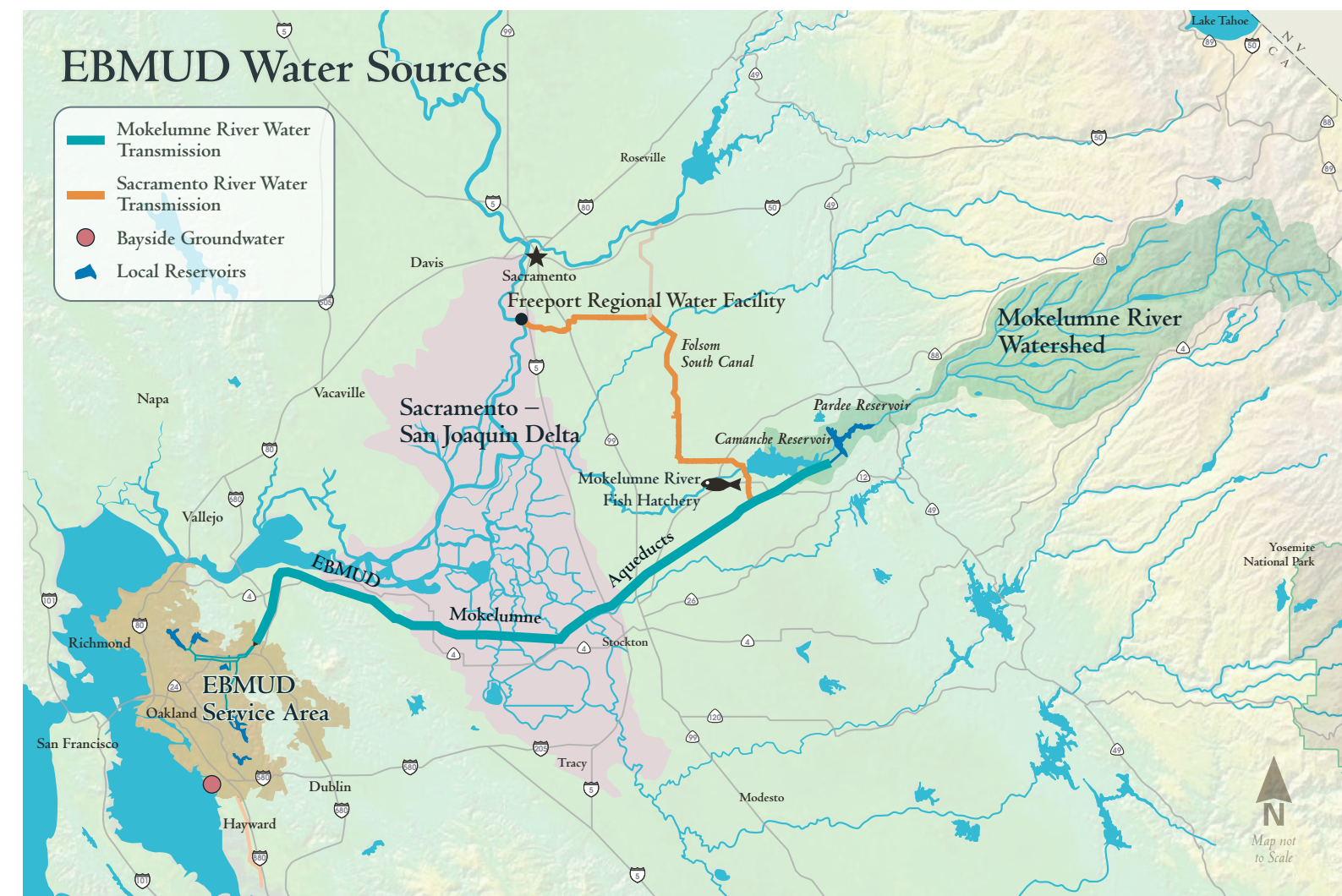
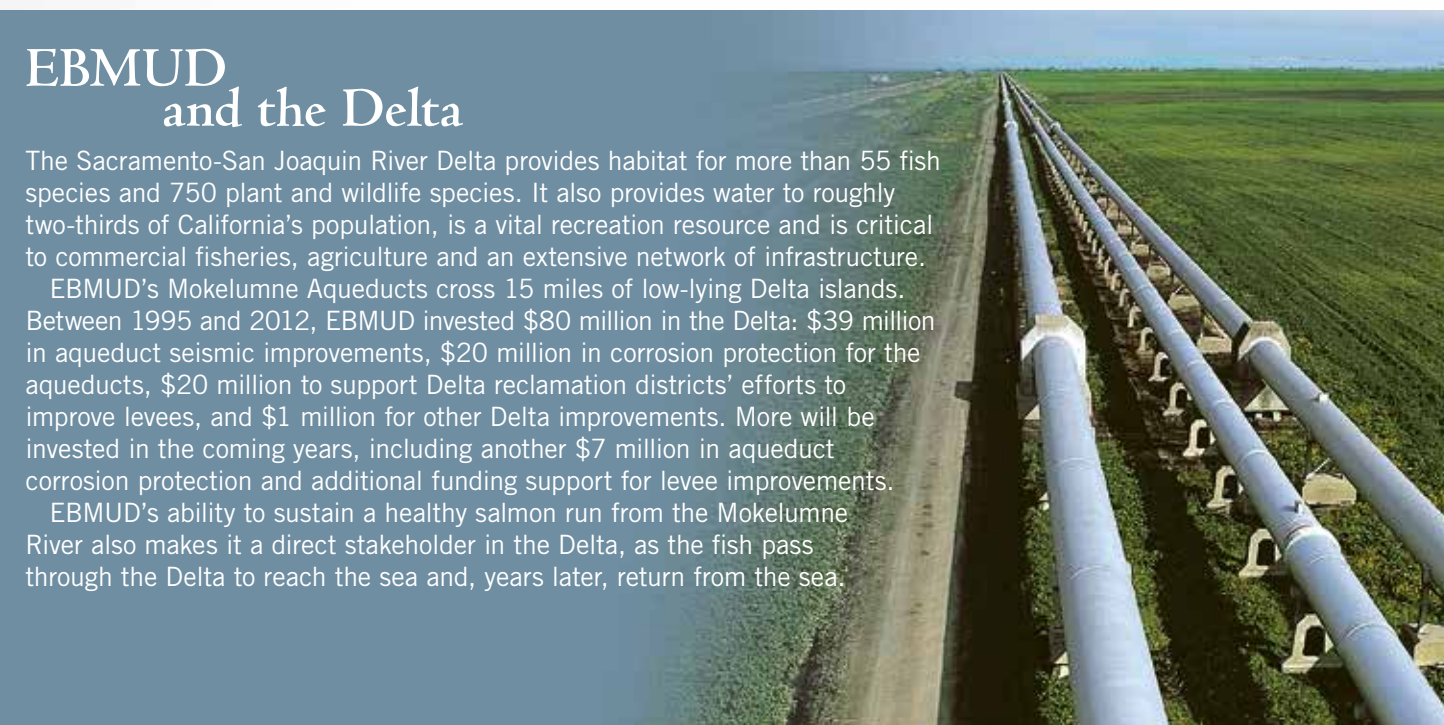


## EBMUD and the Delta

The Sacramento-San Joaquin River Delta provides habitat for more than 55 fish species and 750 plant and wildlife species. It also provides water to roughly two-thirds of California's population, is a vital recreation resource and is critical to commercial fisheries, agriculture and an extensive network of infrastructure.

EBMUD's Mokelumne Aqueducts cross 15 miles of low-lying Delta islands. Between 1995 and 2012, EBMUD invested \$80 million in the Delta: \$39 million in aqueduct seismic improvements, \$20 million in corrosion protection for the aqueducts, \$20 million to support Delta reclamation districts' efforts to improve levees, and \$1 million for other Delta improvements. More will be invested in the coming years, including another \$7 million in aqueduct corrosion protection and additional funding support for levee improvements.

EBMUD's ability to sustain a healthy salmon run from the Mokelumne River also makes it a direct stakeholder in the Delta, as the fish pass through the Delta to reach the sea and, years later, return from the sea.





# Water Conservation

EBMUD’s plan for assuring adequate future water supplies relies heavily on efficient water use by customers.

**Conservation Planning** EBMUD has sponsored conservation programs since the 1970s, and adopted its first water conservation master plan in 1994 to guide a comprehensive program for water education, conservation assistance and incentives. The plan was updated in 2011. EBMUD promotes cost-effective and sustained water savings by testing water conservation products and focusing on those that best help customers save water, energy and money.

**Conservation Savings** Since 1995, customers have been saving an estimated 28 MGD. Conservation programs ensure that EBMUD will meet requirements of the California Water Conservation Act of 2009, which mandates a 20 percent reduction in statewide urban water use by 2020. EBMUD’s long-term water supply management program identifies a strategy for saving a total of 62 MGD of water through conservation initiatives by 2040.

**Leak Detection** EBMUD also has an aggressive leak detection program for its own water system that uses innovative technology to detect underground leaks. Finding leaks on EBMUD’s system early not only saves valuable water but also reduces the cost of repairs and the amount of customer inconvenience resulting from breaks.



EBMUD works with business to encourage water use efficiency and awards certificates that can be publicly displayed for three years to those that implement water-efficient best practices. The 27 businesses recognized in 2011-12 for water efficiency improvements reduced their annual water demand by more than 18.6 million gallons —enough water to serve approximately 189 households for an entire year.

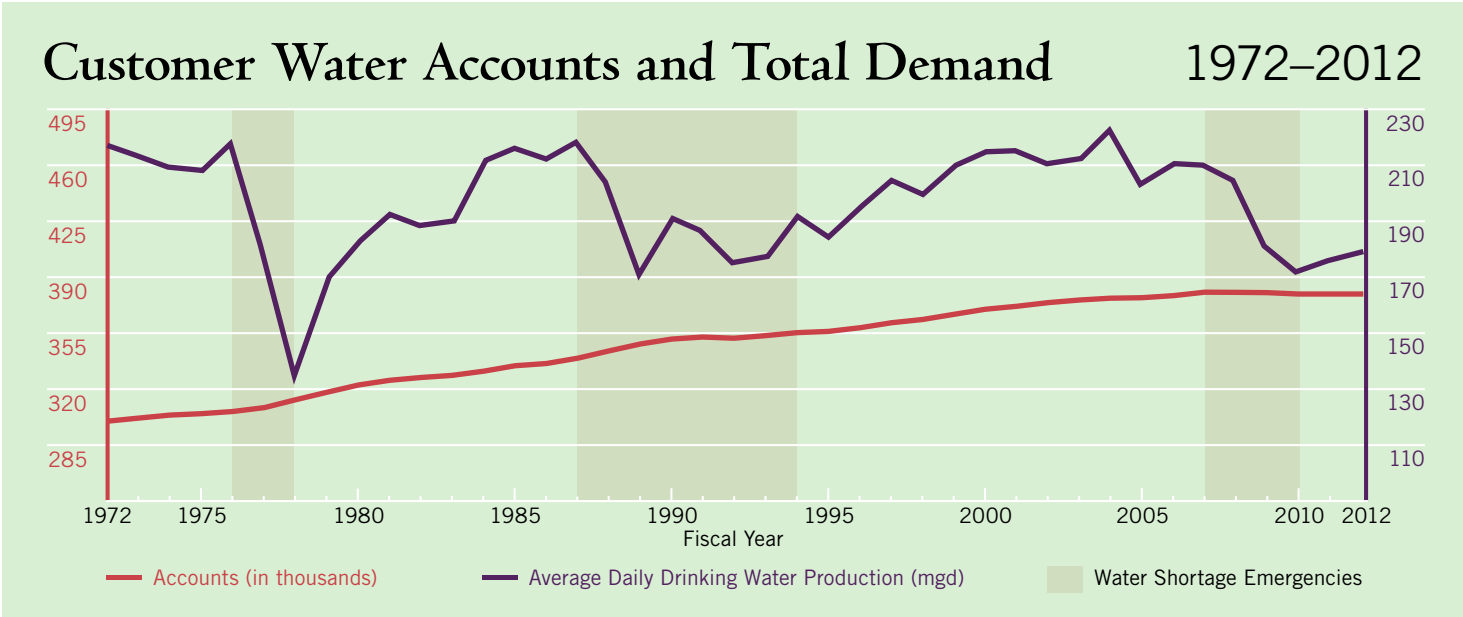
# Water Recycling

EBMUD has used recycled water for almost 40 years for industrial processes and irrigation at the wastewater treatment plant located at the foot of the Bay Bridge in west Oakland. Using recycled and non-potable water helps stretch drinking water supplies.

**Recycled Use** EBMUD currently has the capacity to produce an average of 9 MGD of recycled water. In 2012, EBMUD supplied an average of 5.4 MGD of recycled water to customers for irrigation (golf courses, parks and other landscaping) and industrial processes. This includes the Richmond Advanced Recycled Expansion facility, opened in 2010, which uses microfiltration and reverse osmosis to provide high-quality recycled water for an oil refinery.

**Recycled Water Partners** EBMUD partners with other public agencies to provide recycled water throughout its service area. Partners include the West County Wastewater District for Richmond projects, the City of San Leandro for service in Alameda and southern Oakland, and the Dublin San Ramon Services District in the San Ramon Valley. EBMUD also works closely with recycled water users to help them manage their recycled water systems efficiently and safely.

**Future Recycling Plans** By 2040, EBMUD plans to recycle an additional 11 MGD within the service area, which will reduce the overall need for drinking water in the year 2040 by six percent.



# Water Use and Distribution

Water use has been relatively constant over forty years despite a 29 percent increase in accounts.

## Water Use

The single-family residential customer category is the largest water user category, followed by multi-family residential, industrial and petroleum, commercial, irrigation, and institutional users. Historically, approximately 63 percent of EBMUD’s water has been delivered to residential customers.

**Demand Over Time** Historical water production in the EBMUD service area is illustrated on page 4. Total demand has remained relatively constant despite the increase in the number of water service accounts.

Water use dipped significantly during water shortage emergencies (declared by the Board of Directors) in calendar years 1976-78, 1987-94 and 2007-2010. Water conservation and recycling, plus other factors described below, have offset growth in water demand.

**Climate’s Impact** Among the many factors that influence how much water the EBMUD service area uses year to year, climate is especially significant. California has a summer-dry climate and periodic droughts. Water use increases when conditions are drier and warmer than normal. When dry periods are long and/or intense, EBMUD imposes water use restrictions.



Checking water quality at the Orinda Water Treatment Plant

**Other Factors** Changing land use patterns, changing technology for water-using equipment, and changing economics all can affect water use in the EBMUD service area. Over time there have been a variety of land use changes in the service area. Legislative changes that have reduced water use include plumbing and appliance efficiency standards, state-mandated landscape ordinances, and the Federal Energy Policy Act. The national economic downturn that began in 2007 also contributed to water use reductions in EBMUD’s service area.

## Water Distribution

EBMUD uses gravity to bring water from the mountains to East Bay customers, saving energy and money.

**Aqueducts and Tunnels** The water collected from the Mokelumne watershed in Pardee Reservoir is transported 90 miles to East Bay water treatment plants and reservoirs. The journey begins near the town of Valley Springs in Calaveras County at the Pardee Tunnel and continues through three large pipes, the Mokelumne Aqueducts, which carry water 82 miles to the Lafayette Aqueducts.

The two Lafayette Aqueducts move the water to local water treatment plants

## How much water will we need?

EBMUD plans for water needs for the long term. EBMUD’s current long-term water supply plans were adopted in 2012 and extend to 2040. The plans are based on studies that assessed EBMUD’s ability to meet customer water needs based on available supplies, changing water demand locally and statewide and how climate change can affect local water supplies over the long term. Within EBMUD’s established service boundaries, the studies project growth in demand at less than one percent per year, primarily in areas near the Bay. This future need for additional water can be met through water savings from aggressive conservation and water recycling in normal years. While conservation, recycling and system-wide rationing of up to 15 percent will provide, on average, three-quarters of the additional water needed in a multi-year drought by 2040, other demands on the Mokelumne River mean that EBMUD will need more supplies. EBMUD is partnering with other agencies and other water rights owners to investigate water transfers, regional water projects and other potential supply and storage alternatives.





and to terminal reservoirs. Lafayette Aqueduct No. 1 is a seven-mile-long pipe from Walnut Creek to the Orinda Water Treatment Plant. Lafayette Aqueduct No. 2 runs seven miles from Walnut Creek to the Briones Diversion Works near Orinda, where supplies are either pumped through the Briones Aqueduct into Briones Reservoir, moved into San Pablo Reservoir, or moved to the Orinda Water Treatment Plant.

San Pablo Tunnel carries water 2.6 miles from the San Pablo Reservoir to the San Pablo Water Treatment Plant, a standby plant. Upper San Leandro Tunnel carries water just over a mile from Upper San Leandro Reservoir to the Upper San Leandro Water Treatment Plant. Sobrante Pipeline carries water about two miles from San Pablo Reservoir to the El Sobrante Treatment Plant.

**East Bay Reservoirs** Water brought into EBMUD's service area is either stored in one of EBMUD's five East Bay reservoirs or immediately put through a water treatment plant and distributed within the water system. In total, EBMUD can store up to 151,670 acre-feet of untreated water in the East Bay reservoirs.

San Pablo Reservoir is the northernmost of the local reservoirs. East of San Pablo Reservoir is Briones, EBMUD's largest local reservoir. Lafayette Reservoir is located in the City of Lafayette, and to the south are Upper San Leandro Reservoir and Chabot Reservoir. (See map, page 1)

**Distribution Network** After water is treated at a water treatment plant it is distributed throughout EBMUD's service area.

When EBMUD first began serving Mokelumne water in 1929, it served 440,000 people in a 92.6-square-mile area with 40 MGD through 1,381 miles of pipe.

In 2012, the water distribution network included 4,200 miles of pipe, 140 pumping plants and 170 neighborhood reservoirs (tanks storing treated drinking water) having a total capacity of 830 million gallons. The 332-square-mile service area is divided into more than 120 water pressure zones. Pressure zones range in elevation from sea level to 1,450 feet. Approximately 50 percent of treated water is distributed to customers by gravity.

## Regional Connections for Emergencies

Interties link EBMUD's water system to those of other Bay Area water agencies. These connections will allow water agencies to move water from one system to another during emergencies and when completing planned work on critical facilities. The interties connect EBMUD's system to those of the San Francisco Public Utilities Commission and the city of Hayward to the west and south, to the Dublin San Ramon Services District to the east and south, and the Contra Costa Water District to the east and north. Interties make it easier for Bay Area agencies to respond to emergencies and keep water flowing.

## Maintaining Aging Infrastructure

EBMUD's oldest water system infrastructure dates to the 1870s. Much of the system we rely on today was built in the post-World War II era when the East Bay was growing rapidly. As infrastructure ages, it takes more work to make sure dependable water supplies arrive at customer taps round-the-clock, every day of the year.

EBMUD completes more than 23,000 preventative work orders and 56,000 corrective work orders annually. Priorities are set using a comprehensive asset management system to evaluate the reliability of existing facilities, the cost of rehabilitation versus replacement, the consequences of downtime or failure, and how specific facilities will be used in the future. Maintenance and replacement work planning focuses on ensuring public, worker and environmental safety and considers the financial burden to customers and the potential disruption to daily life that results when

crews must work in the streets and at facilities located near homes and businesses.

In 2012, more than three-quarters of every rate dollar EBMUD collected for water service went toward storage, treatment and delivery of water, day-to-day system maintenance, planning for future improvements, and repaying bonds that were sold to pay for long-term investments in pipes, reservoirs, dams and other infrastructure.

The unit costs for infrastructure work in urbanized service areas like the East Bay have outpaced general inflation because of a variety of factors, such as the cost of materials and supplies, the challenges of working in a congested underground environment that often requires hand-digging and other special construction provisions, and the limitations on work hours that are imposed by local jurisdictions on behalf of local residents and businesses.

EBMUD has a solid record of infrastructure maintenance investment and the system's performance meets recommended industry standards. To maintain high levels of system reliability and assure the overall least cost for customers, detailed infrastructure master plans have been developed that forecast when investments will be needed in key facilities such as treatment plants, pumps and dams.



EBMUD dispatchers and crews work each night to maintain service and promptly resolve problems.

# Renewable Energy

EBMUD generates renewable energy from solar and hydropower, and cogeneration at wastewater treatment facilities.

Across the world, energy is one of the biggest costs of delivering water to taps and treating wastewater. EBMUD's systems were built to rely as much as possible on gravity, and EBMUD's sustainability practices minimize energy use. In 2012 EBMUD generated approximately 164,000 MWh of renewable energy at its hydropower and cogeneration facilities. Total energy used in 2012 was 128,800 MWh, of which 92,500 MWh was purchased and 36,300 MWh was offset by EBMUD renewable supplies.

Because energy production and energy use periods cannot be perfectly synchronized, EBMUD both buys and sells power

**Power Use.** Annually, approximately 60 percent of the energy EBMUD uses is for pumping water to neighborhood reservoirs for delivery to customers, 10 percent is used in the water treatment process, and 15 percent is used to move water from reservoirs to treatment plants and at maintenance and administrative facilities. The wastewater treatment system uses 15 percent of the energy EBMUD purchases. The District routinely evaluates adding renewable energy capabilities to its facilities to meet the goals and objectives of its sustainability and renewable energy policies. In 2012, solar panels owned by EBMUD generated approximately 640 MWh of energy, and solar panels

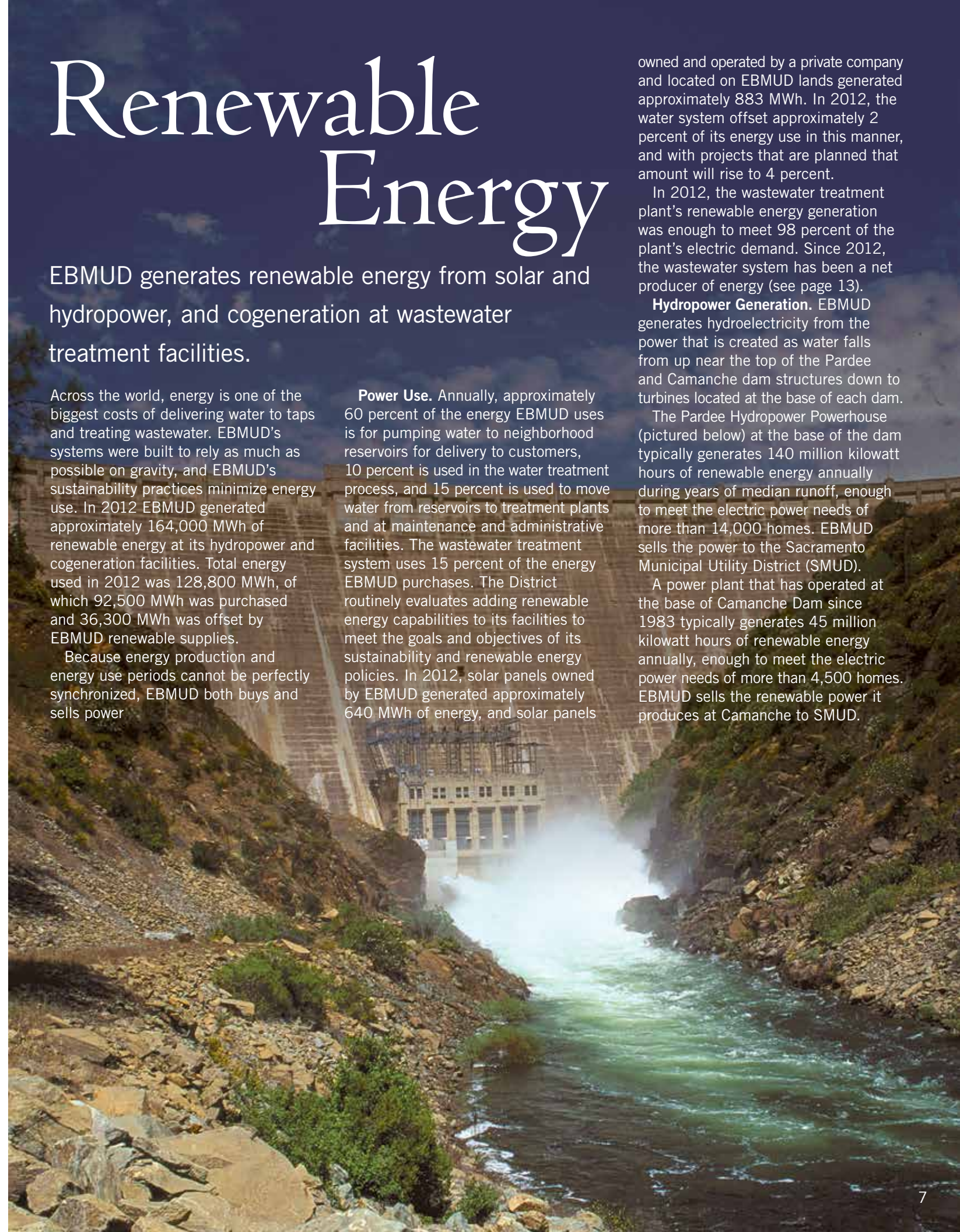
owned and operated by a private company and located on EBMUD lands generated approximately 883 MWh. In 2012, the water system offset approximately 2 percent of its energy use in this manner, and with projects that are planned that amount will rise to 4 percent.

In 2012, the wastewater treatment plant's renewable energy generation was enough to meet 98 percent of the plant's electric demand. Since 2012, the wastewater system has been a net producer of energy (see page 13).

**Hydropower Generation.** EBMUD generates hydroelectricity from the power that is created as water falls from up near the top of the Pardee and Camanche dam structures down to turbines located at the base of each dam.

The Pardee Hydropower Powerhouse (pictured below) at the base of the dam typically generates 140 million kilowatt hours of renewable energy annually during years of median runoff, enough to meet the electric power needs of more than 14,000 homes. EBMUD sells the power to the Sacramento Municipal Utility District (SMUD).

A power plant that has operated at the base of Camanche Dam since 1983 typically generates 45 million kilowatt hours of renewable energy annually, enough to meet the electric power needs of more than 4,500 homes. EBMUD sells the renewable power it produces at Camanche to SMUD.





# Water Quality

EBMUD water supplies meet or surpass all state and federal regulations.

## An Excellent Source

Because it comes from mostly undeveloped watershed lands, EBMUD's source water is not exposed to contaminants like pesticides, agricultural or urban runoff, municipal sewage

discharges or industrial toxics. Untreated water can be cloudy because of sediment and can contain bacteria, algae and other microorganisms—all of which are effectively removed by the treatment process. Mokelumne River supplies require only minimal treatment to meet or surpass regulatory standards.

## Treatment Plants

EBMUD treats all water it delivers to customers and adds fluoride to promote dental hygiene. EBMUD's water treatment plants are capable of filtering and processing a combined total of more than 425 million gallons of water daily. Orinda Water Treatment Plant is the largest, with a peak capacity of 200 million gallons per day. Other water treatment plants are Lafayette, Upper San Leandro, Sobrante and Walnut Creek. San Pablo is a sixth treatment plant which is currently a standby plant, not in use.

EBMUD publishes a detailed annual water quality report, which is available at [www.ebmud.com](http://www.ebmud.com).

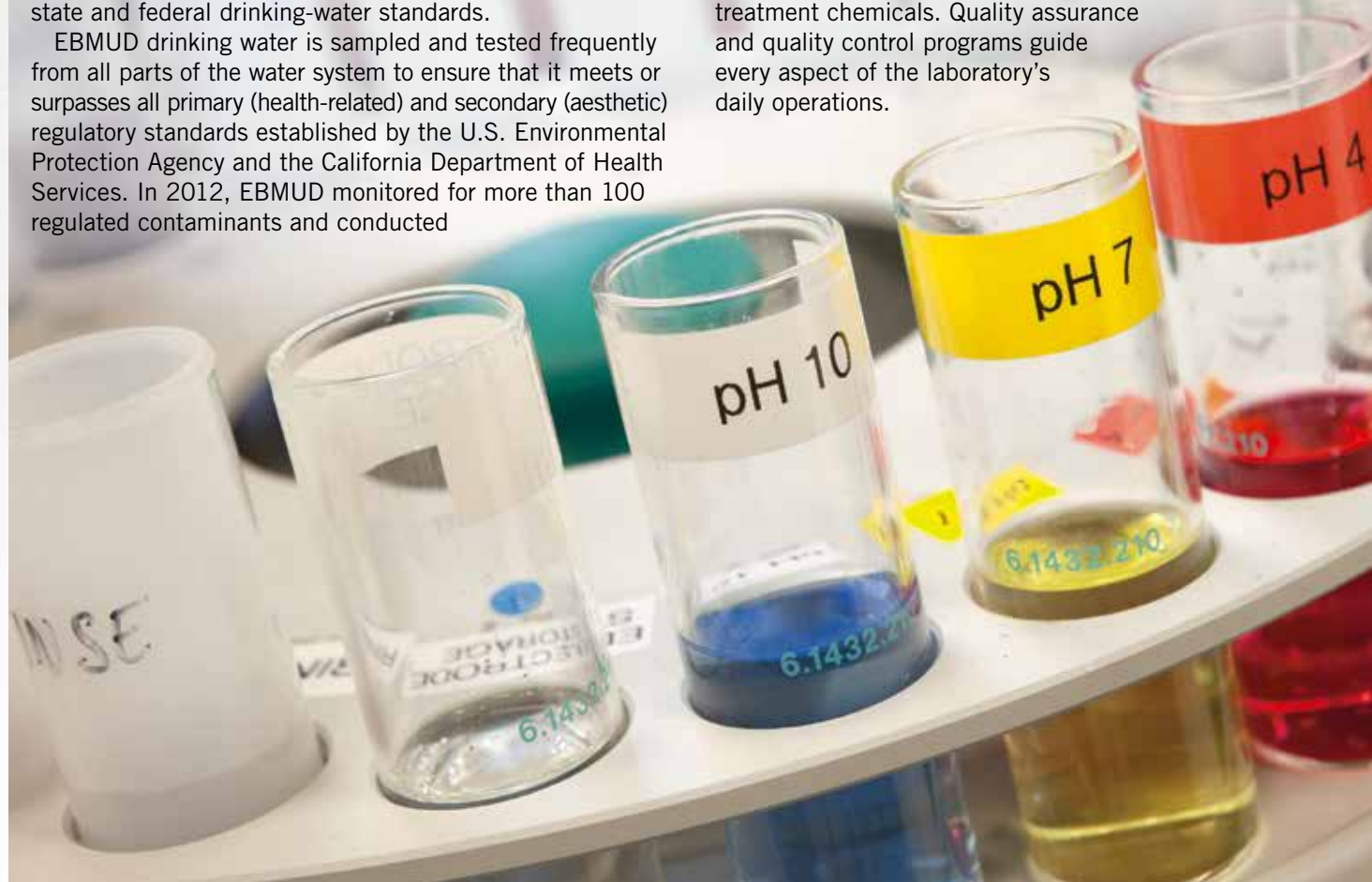
## Laboratory Services

EBMUD's laboratory operates 365 days a year to support water and wastewater operations. Test results consistently show that regulated contaminants either are not detected at all or are generally present in amounts far below limits permitted by state and federal drinking-water standards.

EBMUD drinking water is sampled and tested frequently from all parts of the water system to ensure that it meets or surpasses all primary (health-related) and secondary (aesthetic) regulatory standards established by the U.S. Environmental Protection Agency and the California Department of Health Services. In 2012, EBMUD monitored for more than 100 regulated contaminants and conducted

more than 20,000 laboratory tests to ensure the safety of drinking water for customers.

EBMUD's laboratory is certified by the State of California to perform inorganic, organic and microbiological analyses related to drinking water, source water, wastewater, recycled water, receiving water, soil, biosolids, hazardous waste, and treatment chemicals. Quality assurance and quality control programs guide every aspect of the laboratory's daily operations.



## Water Treatment

Water treatment processes vary depending on the water supply. The process used at the Upper San Leandro and Sobrante water treatment plants has six steps. The Orinda, Lafayette and Walnut Creek water treatment plants use only three steps (coagulation, filtration, and disinfection) because the water they receive needs less treatment.

**Coagulation** Coagulants are added to the water in large basins. The coagulants help tiny particles of dirt and plant debris in the water to clump together by neutralizing the charge of the particles.

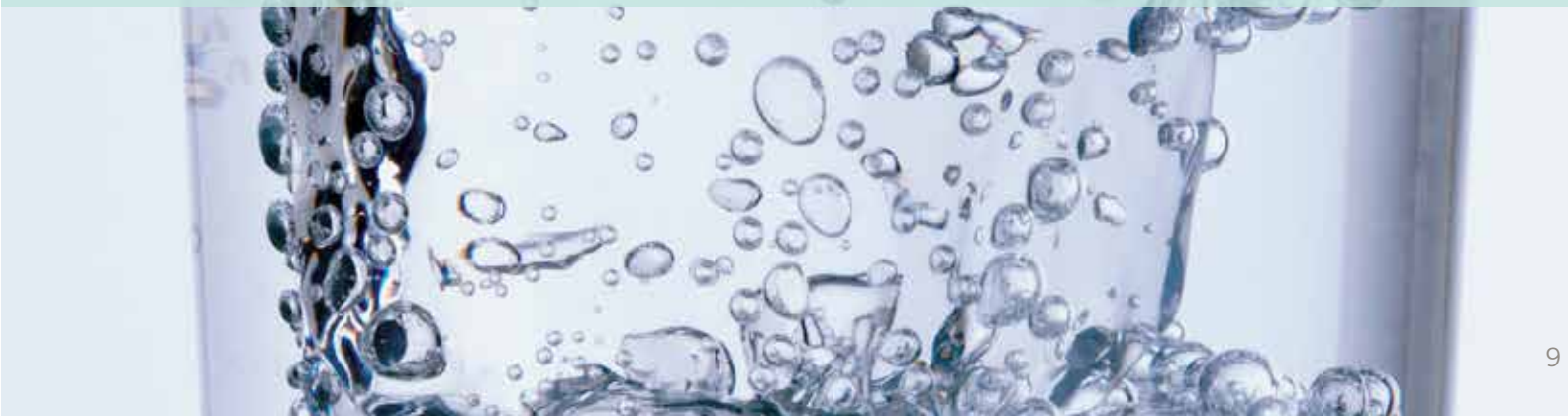
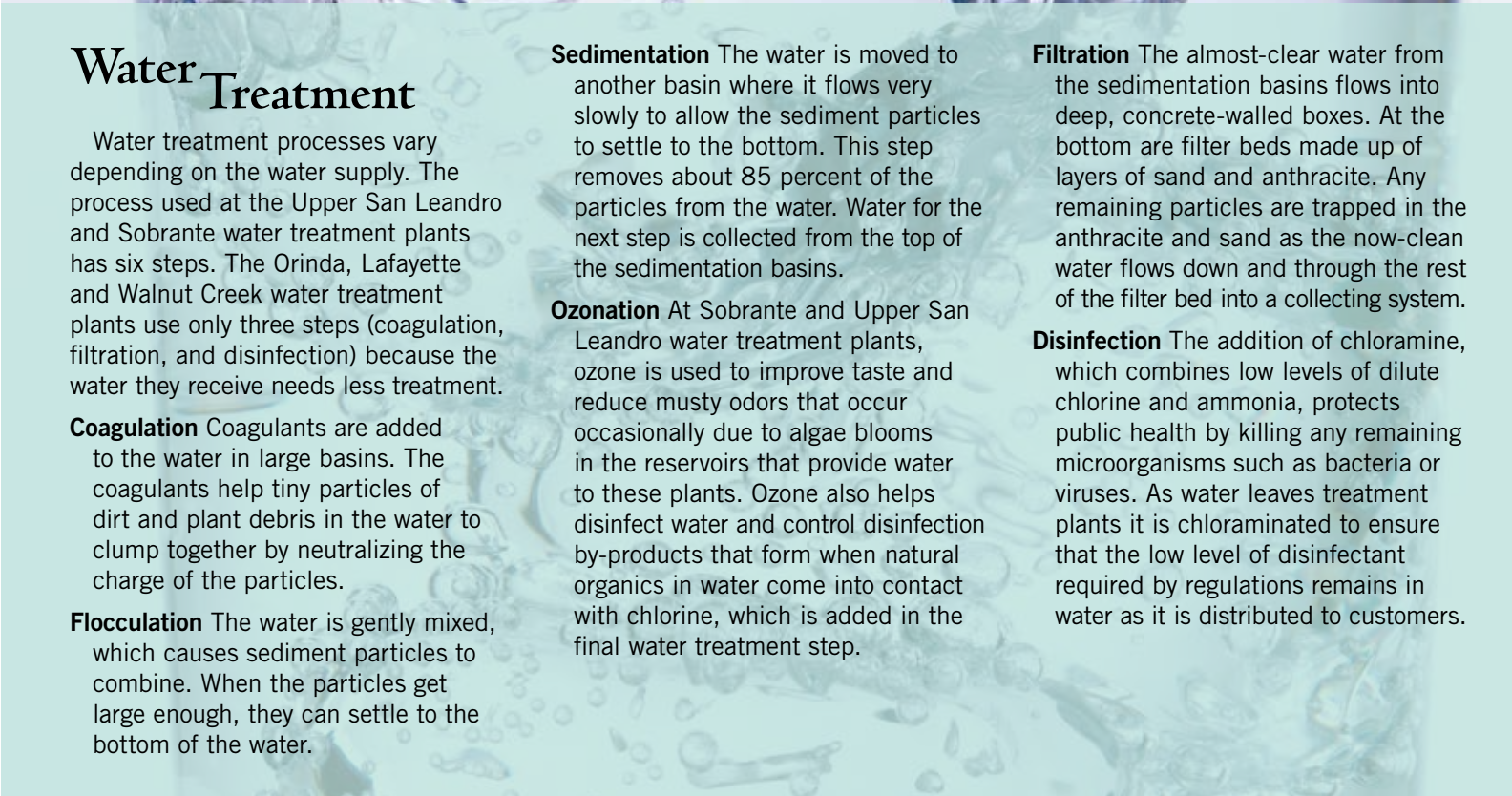
**Flocculation** The water is gently mixed, which causes sediment particles to combine. When the particles get large enough, they can settle to the bottom of the water.

**Sedimentation** The water is moved to another basin where it flows very slowly to allow the sediment particles to settle to the bottom. This step removes about 85 percent of the particles from the water. Water for the next step is collected from the top of the sedimentation basins.

**Ozonation** At Sobrante and Upper San Leandro water treatment plants, ozone is used to improve taste and reduce musty odors that occur occasionally due to algae blooms in the reservoirs that provide water to these plants. Ozone also helps disinfect water and control disinfection by-products that form when natural organics in water come into contact with chlorine, which is added in the final water treatment step.

**Filtration** The almost-clear water from the sedimentation basins flows into deep, concrete-walled boxes. At the bottom are filter beds made up of layers of sand and anthracite. Any remaining particles are trapped in the anthracite and sand as the now-clean water flows down and through the rest of the filter bed into a collecting system.

**Disinfection** The addition of chloramine, which combines low levels of dilute chlorine and ammonia, protects public health by killing any remaining microorganisms such as bacteria or viruses. As water leaves treatment plants it is chloraminated to ensure that the low level of disinfectant required by regulations remains in water as it is distributed to customers.





# Resource Management and Protection

Environmentally sound management protects water quality and natural resources while providing appropriate public access.

## Land Management

EBMUD owns 54,605 acres of protected watershed land in the East Bay and in the Mokelumne River Basin, including 12,765 surface acres of water in the reservoirs.

EBMUD lands are managed with the guidance of watershed master plans that enable EBMUD to offer recreation programs and offset the costs of land management through careful selection and management of compatible land uses. EBMUD has partnered with the U.S. Fish and Wildlife Service to create added protections for endangered species through a habitat conservation plan in the East Bay and a Safe Harbor Agreement in the Mokelumne watershed.

**Watershed Protection** Preventive management is a key element of EBMUD’s environmentally sensitive watershed management programs. EBMUD minimizes the use of pesticides and chemicals on the watershed through integrated pest management

Watershed lands like Pinole Valley (pictured) provide critical links for the regional Coast-to-Crest and Bay trails. EBMUD manages 65 miles of trails for hiking and horseback riding through undeveloped East Bay watershed land and 31 miles of trails in the Mokelumne watershed. Backcountry trails in the East Bay and Mokelumne watersheds require a permit, which is available for a nominal fee.



acres of invasive non-native plant species in the East Bay. Several local schools have been involved in replanting programs that increase the number of native plants and trees such as valley oaks and California redwoods.

**Mitigation Bank** EBMUD-owned land in Pinole Valley is being evaluated as a site for a mitigation bank for endangered species. As an initial step, EBMUD plans to establish a 370-acre bank at Oursan Ridge that will provide credits for California red-legged frogs and Alameda whipsnakes. If developed, the Pinole Valley Mitigation Bank would preserve approximately 3,000 more acres as open space while generating revenue through sales of mitigation credits for Alameda whipsnake, California red-legged frog, wetlands, oak woodland, and steelhead. The mitigation credits would be used by EBMUD or sold to public agencies or private entities to mitigate for environmental impacts of their projects within the bank service area.

## Fishery Program

EBMUD protects and enhances the riparian environment along the Mokelumne and works with local landowners, state and federal agencies, and others to ensure a healthy fishery.

**Salmon Run** Conditions off the central California coast influence the survival of juvenile salmon that migrate from the Mokelumne River through the Golden Gate, rear in the ocean, and then return. Survival often declines in dry years with warmer ocean temperatures and increases in wet years with cool

## Recreation Services at EBMUD Reservoirs and on the Mokelumne River

Facility	Availability	Hiking	Boating	Fishing	Picnicking	Children's Play Area	Camping	Water Sports
Camanche	Year-round		•	•	•		•	•
Chabot	Year-round	•	•	•	•			
Lafayette	Year-round	•	•	•	•	•		
Mokelumne Day Use	Year-round	•	•	•	•			
Pardee	Feb-Oct		•	•	•	•	•	
San Pablo	Feb-Oct	•	•	•	•	•		

Details on the programs at these facilities are available at [www.ebmud.com](http://www.ebmud.com).

ocean temperatures. In 2009-10, ocean conditions were favorable for juvenile salmon. In part due to these conditions, a record number of salmon (over 18,500) returned to the Mokelumne in 2011. Over 12,000 returned in 2012.

**Protecting the Fishery** EBMUD and its partners (California Department of Fish and Wildlife, the U.S. Fish and Wildlife Service, and the National Marine Fisheries Service) use many strategies to protect the fishery, including minimizing non-native predators along the Mokelumne, improving riparian habitat, optimizing river operations for rearing, and operating the most modern salmon hatchery in the Central Valley.

The Delta is a complex system of waterways. It’s easy for salmon to lose their way and end up in a different waterway than their natal stream. In recent years, EBMUD has generated pulse flows on the Mokelumne to mimic fall storm flows (and, when possible, state officials have closed the Delta cross channel during the peak up-migration period) to attract fish upstream past other tributaries and help more Mokelumne-origin salmon find their way back home.

EBMUD has created and improved salmonid spawning and rearing habitat along several miles of the river. Efforts also have included stabilizing stream banks, removing invasive plants, and planting native shrubs and trees.

EBMUD and its partner agencies believe that by improving habitat, modifying hatchery practices, better

coordinating Delta operations and continuing the robust scientific study program on the river, the Mokelumne salmon return will continue to increase and be a model for recovery on other Central Valley river systems.

## Recreation

EBMUD offers a wide range of recreation facilities. Reservoir uses are carefully controlled to protect water quality. All reservoirs except Camanche prohibit body contact recreation. In addition to the services on the chart above, EBMUD also manages the Camanche Hills Hunting Preserve, which offers hunting for upland game birds, a flighted mallard program and an extensive sporting clays course.

### Boating Restrictions

Boating is allowed on many reservoirs. Boat motor restrictions protect the water. EBMUD also inspects all boats for standing water that may contain quagga and zebra mussels and prohibits boats that have been in infected and potentially infected areas from launching at EBMUD reservoirs.

EBMUD developed a take-out facility that provides rafters and kayakers a place to exit the Mokelumne River at Middle Bar (above Pardee Reservoir).

After observing the spread of quagga and zebra mussels to reservoirs across the United States, EBMUD determined that the destructive and invasive species posed a threat to local reservoirs. The mussels have been shown to cause damage to water system facilities and to devour food and nutrients and starve native species.

An EBMUD-sponsored state law requires all California water storage reservoirs to implement programs like EBMUD’s to prevent the introduction of these invasive species.





# The Wastewater System

More than 60 years of protecting San Francisco Bay.

Before EBMUD's wastewater treatment plant began operating untreated sewage flowed from city sewer systems into San Francisco Bay. In 1951, EBMUD's

wastewater treatment plant began cleaning the waste stream and improving the health of the Bay. Over the past 60 years, EBMUD's programs have

evolved and today the emphasis is on preventing pollution at the source and finding ways to generate energy and reuse elements from the waste stream.

EBMUD's wastewater programs use sound science to protect public health and the Bay. Proactive efforts help protect the Bay waters, minimize air emissions and keep waste discharges low. In collaboration with other agencies, EBMUD is developing watershed solutions to challenging San Francisco Bay water quality issues.

EBMUD's wastewater programs will continue to protect San Francisco Bay by seeking effective wastewater and wet weather flow management solutions that will meet increasingly complex and stringent regulatory requirements, while keeping rates affordable for customers.



## Treating Wastewater in the East Bay

In 1944, local residents voted to have EBMUD provide wastewater treatment services for a 70-square-mile area with a population of 593,000. When EBMUD's plant began operating on November 15, 1951, the wastewater flow was 55 MGD. Today, EBMUD treats domestic, commercial and industrial wastewater for 650,000 customers in an 88 square mile area in the East Bay. The average flow into the plant was 63 MGD in 2012.

The wastewater service area includes the cities of Alameda, Albany, Berkeley, Emeryville, Oakland and Piedmont, and the Stege Sanitary District, which includes El Cerrito, Kensington and part of Richmond. Each of these entities operates a sewer collection system that discharges into EBMUD's intercepting sewers.

EBMUD owns and operates a network of 15 wastewater pumping stations, 29 miles of concrete interceptor sewers, and 8 miles of force mains that convey wastewater to the wastewater treatment plant in west Oakland near the entrance to the San Francisco-Oakland Bay Bridge.

## Reusing the Waste Stream

EBMUD is an industry leader in finding ways to reuse the waste stream that protects the Bay and reduces customer costs.

### Generating Renewable Energy

EBMUD capture methane gas produced from the wastewater treatment process and turn it into power. In 1985, EBMUD installed a 6.3-megawatt power generation plant to recover energy from methane gas, meeting 50 percent of the electrical needs of the plant. In 2011, the addition of a 4.6-megawatt low-emissions turbine allows the wastewater treatment

plant to generate an abundance of power—and sell renewable energy generated from waste back to the grid.

In addition to treating waste received through the sewer collection system, EBMUD accepts high-organic waste streams delivered in trucks such as domestic waste from septic tanks, fats, oil and grease from restaurants and other food and drink wastes. These organic materials can also be processed to generate renewable energy.

**Generating Reusable Organic Material** Biosolids management helps local communities reduce the amount of materials going into landfills. Biosolids are the solid, stabilized organic material removed from wastewater. About 75,000 wet tons of biosolids are produced annually and beneficially used as a soil amendment in land applications or as alternative daily cover at nearby landfills.



A wastewater plant operator collects a sample of liquid oxygen. EBMUD's pure oxygen production facility is used in the secondary treatment phase of wastewater treatment.



# Preventing Pollution at the Source

EBMUD educates residents and businesses on steps they can take to help protect the Bay by choosing safer products and not dumping hazardous chemicals down the drains.

EBMUD's wastewater service area includes more than 20,000 commercial and industrial businesses. EBMUD helps these facilities monitor and pretreat their waste stream, so that materials discharged into sewers comply with local and state regulations.

**Removing Heavy Metals** Businesses are required to remove such toxics as heavy metals and organic pollutants by using best management practices, process controls and/or pretreatment. In 1972, EBMUD began working with and monitoring business practices to help control pollution at the source. By 1977, EBMUD was able to show a 98 percent reduction in the quantity of heavy metals discharged into the Bay.

**Removing Toxics** EBMUD partners with many groups to keep toxics out of the Bay. By collaborating with industry groups to develop and promote best management practices, EBMUD helps local businesses adopt effective business practices that protect the environment. Today, local dental offices release less mercury into the sewer system and more automotive repair facilities recycle and/or properly



dispose of radiator coolant and other solvents and lubricants.

**Educational Partnerships** EBMUD partnerships with public agencies and Bay protection groups have helped educate community members on what materials should not be put down the drain. Programs to collect unused pharmaceuticals and household fats, oils and grease, and to encourage wise choice of cleaning products all help protect San Francisco Bay.

In addition to sewage, the wastewater treatment plant accepts discarded materials like food grease and scraps that might otherwise go to landfill. It uses them, like a “green factory”, to create renewable and beneficial products.

# Controlling Rainwater for a Cleaner Bay

In the 1980s, stormwater-related issues created a challenge for EBMUD and local cities whose sewer systems connect to EBMUD's wastewater treatment plant. Deteriorated community sanitary sewer pipes and improper storm drain connections were allowing rainwater into local communities' separate sanitary sewer systems during storms, causing overflows at more than 175 locations. EBMUD and the communities developed a regional solution and launched a program to collect and manage storm flows.

EBMUD spent \$325 million between 1988 and 1998 to build a wet weather collection and treatment system to keep raw sewage from entering the Bay when heavy rainfall overwhelmed the system. EBMUD can handle up to 415 MGD of short-term wet weather flows. The communities invested more than \$360 million in sanitary sewer system improvements. That program significantly increased protection of the Bay and was successful in meeting its objectives.

## A New Wet Weather Program

Despite the progress made, the system

today is still unable to handle the storm drainage from the communities, where sewer pipes leak heavily during rainstorms. In 2011, following a lengthy process of collaboration with regulators and others who work on the continued protection of San Francisco Bay, EBMUD and the communities launched a program to invest in further improving wet weather flow management.

EBMUD is investing in wastewater infrastructure. Communities are developing plans to assess and fix damaged sewer pipes and EBMUD is providing technical support to help the

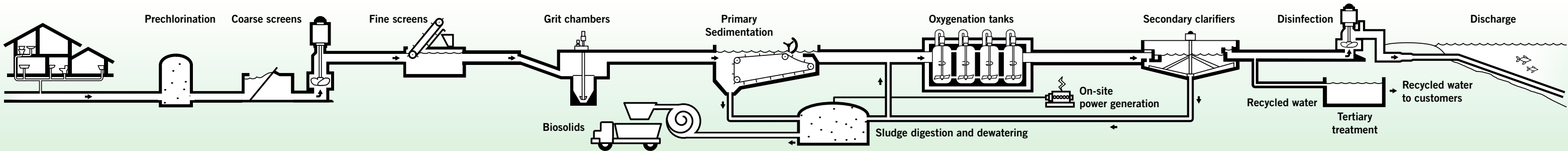
communities. City and EBMUD pipes will be inspected, cleaned and monitored.

In partnership with the EPA and the Regional Water Quality Control Board, a regional private sewer lateral program now requires owners selling a property to inspect and repair their sewer lateral if needed. It also mandates that anyone conducting a major remodel or changing the size of their water meter needs to go through the same process.

Fixing the source of inflow and infiltration into sewers during rainstorms is the best way to protect the Bay.



To protect San Francisco Bay, EBMUD's wastewater programs focus on preventing pollution at the source.



## The Process

**Preliminary treatment** screens untreated wastewater (influent) to remove rags, rocks, paper and debris, and then passes it through grit removal tanks that remove sand and silt. Concentrated household bleach (sodium hypochlorite) is added to help control odors.

**Primary treatment** occurs in large tanks, where floating material such as oils and grease are removed and organic solids that are heavy enough are allowed to settle. EBMUD can process up to 320 MGD through primary treatment.

**Secondary treatment** uses biological microorganisms (biomass) that break down and remove organics still present in the wastewater after primary treatment. Pure oxygen helps the biomass thrive and work efficiently. Large basins settle out the biomass sludge and separate it from the final treated wastewater effluent. EBMUD can process up to 168 MGD through secondary treatment.

**Disinfection** The treated wastewater is disinfected, dechlorinated and then discharged 1.2 miles off the East Bay shore through a deep water outfall into San Francisco Bay.

**Sludge digestion and dewatering** Large anaerobic digester tanks treat the settled solids from primary treatment and the biomass sludge separated during secondary treatment. These digesters use natural microbial activity to stabilize the biosolids, a process that takes 15 to 20 days. High-speed centrifuges remove excess water at the end of the process.

**Recycled water** Some of the water processed through secondary treatment is further treated and then recycled for irrigation, commercial and industrial purposes in Oakland and Emeryville. Future expansion will distribute recycled water into Alameda, Albany and Berkeley.



# Budget, Rates and Workforce

EBMUD is an enterprise special district, committed to providing essential public services.

## Budget

EBMUD's revenues come from a variety of sources, including sales of water and hydroelectric power, meter service charges, sewage treatment charges and a wet-weather facilities charge. The 2012 fiscal year budget was \$595.3 million for the water system and included \$222.9 million in capital improvement appropriations. The wastewater system budget of \$127.3 million included \$38.3 million in capital improvement appropriations.



## Rates and Charges

As an enterprise special district, EBMUD sets rates and charges to cover the costs of the services it provides. Most customers are billed every two months. Some large commercial and industrial accounts are billed monthly.

Water service charges have four elements:

- A service charge that covers the cost of the water meter, fire protection, customer billing and services. It is based on the meter size.
- A seismic surcharge that pays for system-wide seismic improvements.
- An elevation surcharge that covers the energy costs of pumping water to properties located at higher elevations.
- A charge for the amount of water used. To encourage wise water use, single family use charges increase across three tiers based on the volume of water used. The first tier is set at typical indoor water use levels.



In 2012, a typical residential water customer used 270 gallons of water a day and paid \$40.98 per month.

Wastewater treatment charges have three components.

- A charge based on wastewater strength and volume.
- A San Francisco Bay pollution prevention fee. This fee pays for services to reduce the discharge of pollutants from commercial customers and educate customers on actions at home that help keep the Bay clean.
- EBMUD provides billing services for five of the seven agencies that collect sewage and deliver it into EBMUD's wastewater treatment system. Those charges also appear on some customer bills.

In 2012, the average residential wastewater treatment customer paid \$16 per month.

## Equity in Contracting

In 1984, EBMUD adopted its first policy to ensure all businesses would get equitable opportunities to contract with EBMUD. Each year, EBMUD renews its policy that commits the organization to nondiscrimination, to promoting small business and local business participation in contracts, and to enabling all qualified contractors to compete for contract awards.

EBMUD contracting with historically underutilized businesses (ethnic minorities and white women) has grown from approximately 8 percent in 1984 to 21 percent in 2012.

## Workforce

EBMUD is a major Bay Area employer, with approximately 1,800 employees working in a broad range of trades, as well as technical, administrative and scientific fields.

Operating and maintaining the complex systems that deliver safe water supplies and treat waste streams requires working around-the-clock, 365 days a year. Plant operators, crews and dispatchers work each night to maintain service and promptly resolve problems.

EBMUD focuses on ensuring safe working environments and safe work practices for its crews and all employees. EBMUD devotes 11,500 hours to

workplace health and safety training annually, conducts approximately 120 jobsite inspections, and audits numerous facilities. Lost-time injuries per 100 employees were 2.7 in 2012.

EBMUD professional developmental academies help employees prepare for promotional opportunities. EBMUD works with local community colleges and non-profit organizations to support preparation by external candidates for EBMUD job opportunities. In 2011, EBMUD sponsored a Plumber Training Program with Laney College to prepare students for plumber job opportunities in the water industry. EBMUD seeks a workforce that is representative of California's diverse labor force.





# EBMUD Historical Highlights

- |  |   |  |
|--|---|--|
| 1923 Election authorizes the formation of a regional utility district                              | 1978 Full secondary wastewater treatment system begins operating to further protect the Bay     | 2010 Dry-year supplies for the East Bay become available from the Sacramento River   |
| 1929 First Mokelumne River water delivered to customers in the East Bay                            | 1983 Renewable energy production begins at Sierra reservoirs (hydropower)                       | 2011 National law adopted to get lead out of drinking-water plumbing based EBMUD-sponsored state law   |
| 1944 Election authorizes EBMUD to provide regional wastewater treatment                            | 1984 Recycled water sales begin   | 2012 EBMUD becomes the first utility in the nation to generate net renewable energy by capturing methane gas from the wastewater treatment process |
| 1951 Wastewater treatment system begins operating to protect San Francisco Bay                     | 1985 Renewable energy production begins at wastewater treatment plant                           |  |
| 1970 Watershed Land Use Master Plan adopted  | 1986 Regional wet weather program established to minimize storm-induced sewer overflows         |  |
| 1977 Driest year in EBMUD history; mandatory rationing required and conservation programs expanded | 1993 Lower Mokelumne River Management Plan assures reliable water supplies and sustains fishery |  |

*For an expanded historical timeline, please visit the District history page at [www.ebmud.com](http://www.ebmud.com).*

## Board of Directors

John A. Coleman  
Katy Foulkes  
Andy Katz  
Doug Linney  
Lesia R. McIntosh  
Frank Mellon  
William B. Patterson

## General Manager

Alexander R. Coate

## Editors

Cheryl Farr  
Andrea Pook

## Design

Michael Bergstrom

## Printing

EBMUD Print Shop



**EAST BAY  
MUNICIPAL UTILITY DISTRICT**  
P.O. Box 24055  
Oakland, CA 94623-1055  
1-866-40-EBMUD  
[www.ebmud.com](http://www.ebmud.com)





## **NOTICE OF ELECTION FOR THE OFFICE OF DIRECTOR OF THE EAST BAY MUNICIPAL UTILITY DISTRICT**

Notice is hereby given that an election will be held on Tuesday, November 8, 2016 in Wards 1, 5, and 6 of the East Bay Municipal Utility District for the office of Director. The election shall be consolidated with the General Election to be held in Alameda and Contra Costa Counties on said date.

Candidates for office of Director must be a resident and voter in the ward from which the candidate is nominated. Nomination papers may be obtained and circulated within the ward from which a candidate is seeking election beginning July 18, 2016. All nomination papers must be filed with the appropriate County Clerk/Registrar by 5:00 p.m. on August 12, 2016. If nomination papers for an incumbent Director are not filed by 5:00 p.m. on August 12, 2016, the filing deadline for non-incumbent candidates will be extended to August 17, 2016. A deposit of \$1,000 towards the cost of publishing a candidate's statement is required at the time the papers are filed with the County Clerk/Registrar. If no one or only one person has filed a declaration of candidacy for a particular ward by 5 p.m. on August 17, 2016, the EBMUD Board of Directors may choose to appoint the sole candidate or a qualified person (if no candidate is running) to office in that ward, pursuant to Section 11852.5 of the Public Utilities Code, in lieu of holding an election in that ward.

**Ward 1** is entirely in Contra Costa County and includes the cities of Crockett, Hercules, Rodeo, and San Pablo; portions of Richmond and Pinole; and communities of North Richmond and Selby. Nomination papers and other forms are available from the Contra Costa County Clerk-Recorder-Elections Department, 555 Escobar Street, Martinez, CA 94553-1140, (925) 335-7800.

**Ward 5** is entirely in Alameda County and includes the cities of Alameda and San Lorenzo; West Oakland and Oakland Airport Area, and a portion of San Leandro. Nomination papers and other forms are available from the Alameda County Registrar of Voters at the Alameda County Courthouse, 1225 Fallon Street, Room G-1, Oakland, CA; (510) 272-6960.

**Ward 6** is entirely in Alameda County and includes portions of the city of Oakland (East Oakland and south of Park Boulevard/5<sup>th</sup> Avenue) to the San Leandro city boundary. Nomination papers and other forms are available from the Alameda County Registrar of Voters at the Alameda County Courthouse, 1225 Fallon Street, Room G-1, Oakland, CA; (510) 272-6960.

Lynelle M. Lewis  
Secretary of the District





## **INFORMATION ABOUT THE BOARD OF DIRECTORS**

The East Bay Municipal Utility District (“EBMUD”) is a publicly owned utility district which supplies water to a 325-square mile area in Alameda and Contra Costa Counties extending from Crockett on the north, southward to San Lorenzo, eastward from San Francisco Bay to Walnut Creek, and south through the San Ramon Valley. The wastewater system serves an 83-square mile area along the bay’s east shore, extending from Richmond on the north, southward to San Leandro.

In connection with its water supply function, EBMUD owns and manages 55,000 acres of watershed lands and five reservoirs in Alameda and Contra Costa Counties. While the primary purpose of the management program is to protect the water supply, the lands and reservoirs are utilized extensively for public recreation, environmental education in cooperation with county school districts, and for a variety of other uses, with emphasis on preserving open space.

Detailed information and printed materials about the history, geography, population, facilities and operations of EBMUD may be obtained by visiting [www.ebmud.com](http://www.ebmud.com) or by contacting the Office of the Secretary ([lynelle.lewis@ebmud.com](mailto:lynelle.lewis@ebmud.com)); telephone (510) 287-0404.

A seven member, elected Board of Directors determines overall policies, which are then implemented under the direction of the General Manager. The Board meets regularly at 11:00 a.m. for closed session and 1:15 p.m. for its business meeting on the second and fourth Tuesday of each month at EBMUD headquarters located at 375 Eleventh Street, Oakland. In addition, workshop sessions, special meetings, and public hearings may be scheduled.

Each Board member is asked to serve on one or more Board committees. The committees are set up to review and make recommendations with regard to matters of major interest, prior to presentation before the full Board in regular meeting.

Board members are elected from wards of near equal population. Terms are four years and staggered so that no more than four seats are open for election at any one time. Elections are held every two years and are consolidated with the general state elections held in November. The only qualifications for candidacy are that the candidate must live in the ward from which he or she is running and must be a registered voter. Current compensation to EBMUD Board members is \$1,218 per month, as well as reimbursement for any approved expenses which may be incurred as a Board member.



Candidates obtain nomination papers and other required documents from the appropriate County office:

**Ward 1**

Joseph E. Canciamilla  
County Clerk-Recorder, Registrar of Voters  
Contra Costa County – Clerk-Recorder-Elections Department  
555 Escobar Street  
Martinez, CA 94553-1140  
(925) 335-7874  
Email: [candidate.services@vote.cccounty.us](mailto:candidate.services@vote.cccounty.us)  
Website: <http://www.cocovote.us/about-elections/>

**Wards 5 & 6**

Tim Dupuis, Registrar of Voters  
Alameda County – Registrar of Voters Office  
1225 Fallon Street, Room G-1  
Oakland, CA 94612-4283  
(510) 272-6933  
Website: <http://www.acgov.org/rov/elections/>

Candidates may obtain and begin circulating nomination papers on July 18, 2016. All nomination papers must be filed with the appropriate County Clerk/Registrar by 5:00 p.m. on August 12, 2016. If nomination papers for an incumbent Director are not filed by 5:00 p.m. on August 12, 2016, the filing deadline for non-incumbent candidates will be extended to August 17, 2016. A deposit of \$1,000 toward the cost of publishing a candidate's statement is required at the time the papers are filed with the County Clerk/Registrar.

Circulators of nominating papers must reside in the ward from which the candidate is to be elected. Nomination papers must be signed either by 1 percent or by 10 of the registered voters from within the ward, whichever is the lesser number, but in no event by more than 20 registered voters from within the ward.

The term of office for Directors elected November 8, 2016 from Wards 1, 5 and 6 commences January 1, 2017 and ends December 31, 2020.





## WARD DESCRIPTIONS EBMUD BOARD

- WARD 1** CONTRA COSTA COUNTY: Cities of Crockett, Hercules, Rodeo, and San Pablo; portions of Richmond and Pinole; and communities of North Richmond and Selby.  
Director: **Lesa R. McIntosh** **Term expires 12/31/2016**
- WARD 2** CONTRA COSTA COUNTY: Cities of Alamo, Lafayette, Walnut Creek, Town of Danville; portions of San Ramon and Pleasant Hill and communities of Blackhawk and Diablo.  
Director: **John A. Coleman** **Term expires 12/31/2018**
- WARD 3** ALAMEDA COUNTY: City of Piedmont and a portion of Oakland.  
CONTRA COSTA COUNTY: Cities of Orinda and El Sobrante; Town of Moraga, and portions of Pinole and Richmond.  
Director: **Marguerite Young** **Term expires 12/31/2018**
- WARD 4** ALAMEDA COUNTY: Cities of Albany, Berkeley, and Emeryville; and a portion of Oakland.  
CONTRA COSTA COUNTY: Cities of El Cerrito and Kensington.  
Director: **Andy Katz** **Term expires 12/31/2018**
- WARD 5** ALAMEDA COUNTY: Cities of Alameda and San Lorenzo; West Oakland and Oakland Airport Area, and a portion of San Leandro.  
Director: **Doug A. Linney** **Term expires 12/31/2016**
- WARD 6** ALAMEDA COUNTY: Portions of Oakland (East Oakland and south of Park Boulevard/5<sup>th</sup> Avenue) to the San Leandro City boundary.  
Director: **William B. Patterson (Vice –President)** **Term expires 12/31/2016**
- WARD 7** ALAMEDA COUNTY: City of Castro Valley; portions of San Leandro and Hayward; communities of Cherryland and Fairview.  
CONTRA COSTA COUNTY: Portion of the City of San Ramon.  
Director: **Frank Mellon (President)** **Term expires 12/31/2018**

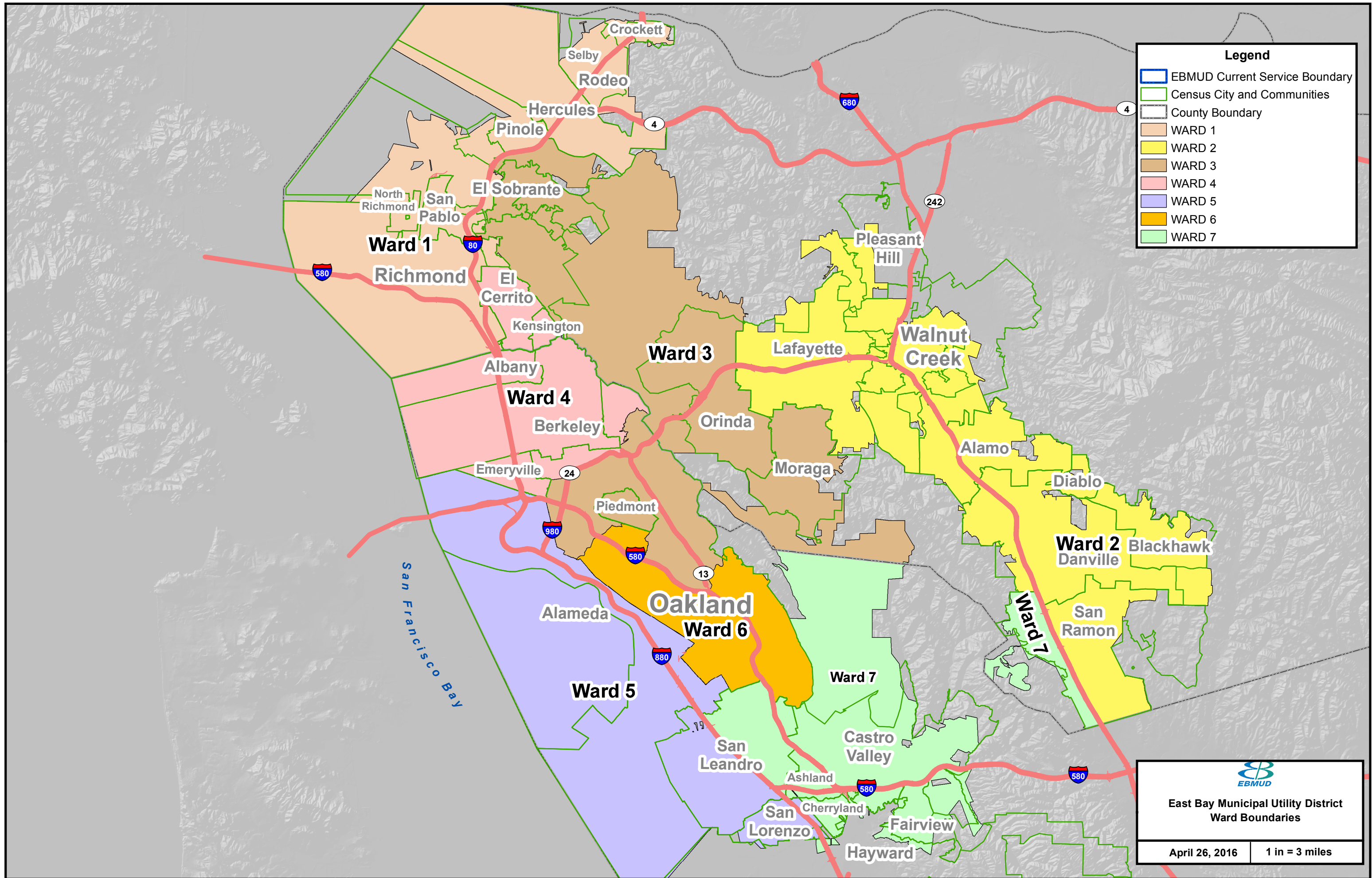
## APPOINTED OFFICIALS

Alexander R. Coate  
General Manager  
510-287-0101

Craig S. Spencer  
General Counsel  
510-287-0670

Lynelle M. Lewis  
Secretary of the District  
510-287-0440







RESOLUTION NO. 34087-16

DETERMINING CRITERIA FOR CANDIDATES' STATEMENTS TO BE FILED BY  
CANDIDATES FOR THE 2016 ELECTION TO THE EAST BAY MUNICIPAL UTILITY  
DISTRICT'S BOARD OF DIRECTORS AND AUTHORIZING SECRETARY TO BILL  
CANDIDATES FOR CERTAIN COSTS

Introduced by Director **Coleman**

; Seconded by Director **Patterson**

WHEREAS, Section 13307 of the Elections Code permits the filing, at the time of filing nomination papers, of a candidate's statement of no more than 200 words by candidates for the East Bay Municipal Utility District's ("District") Board of Directors and authorizes the District to require each non-indigent candidate who files such a statement to pay in advance a sum not greater than the estimated prorated costs (not to exceed \$1,000) of printing, handling, translating and mailing such statement, if any, incurred by the District, and it is in the best interests of the District to require candidates who choose to file such a statement to pay a reasonable sum for these services and for the District to pay the additional costs, if any, incurred as a result of providing such services and to require non-indigent candidates to pay a deposit towards his or her pro rata share of said costs; and

WHEREAS, Elections Code section 13307 requires the County Clerk to provide a Spanish translation of the candidate's statement to those candidates who wish to have one;

NOW, THEREFORE, BE IT RESOLVED that each candidate at the November 8, 2016 General Election for the Office of Director of the District may file a candidate's statement of no more than 200 words as provided for in Section 13307 of the Elections Code with the County Clerk from whom the candidate obtains nomination papers and other forms required for nomination to the Office of Director.

BE IT FURTHER RESOLVED that the Secretary of the District is hereby authorized and directed to provide for collection by the County Clerk, from each non-indigent candidate who files such a statement, a deposit of \$1,000 towards his or her pro rata share of printing, handling, legally required translation and mailing the candidate's statement.

BE IT FURTHER RESOLVED that the Secretary of the District is hereby authorized and directed to bill and take all lawful action necessary to collect from each candidate who files such a statement and who fails to pay the deposit as provided for herein, a sum not greater than the actual prorated costs incurred by the District for printing, handling, legally required translation and mailing the candidate's statement, which sum shall not exceed \$1,000 per candidate.



BE IT FURTHER RESOLVED that in any ward in which voting materials are required by law to be provided in a language other than English, the District will pay for printing, handling, translating, and mailing the translation of the candidate's statement.

BE IT FURTHER RESOLVED that in any ward in which voting materials are not required by law to be provided in a language other than English, the Secretary of the District is hereby authorized and directed to provide for collection by the County Clerk, from each non-indigent candidate who requests that the County Clerk send a translation of his or her candidate's statement to all of the voters in the ward in which the candidate is running, a deposit of \$1,000 towards his or her pro rata share of printing, handling, translating, and mailing the translation of his or her candidate's statement.

BE IT FURTHER RESOLVED that in any ward in which voting materials are not required by law to be provided in a language other than English, if a candidate also requests that the County Clerk send a translation of his or her candidate's statement to all of the voters in the ward in which the candidate is running, the Secretary is hereby authorized and directed to bill and take all lawful action necessary to collect from each such candidate who fails to pay said deposit for the translation, a sum not greater than the actual prorated costs incurred by the District for the printing, handling, translating, and mailing of the said translated statement pursuant to said request, which sum shall not exceed \$1,000 per candidate.

BE IT FURTHER RESOLVED that the proper officers of the District are hereby authorized and directed to pay the balance, if any, of said actual costs incurred by the District for printing, handling, translating, and mailing each candidate's statement and to refund any portion of a candidate's deposit which is not expended for printing, handling, translating, and mailing the candidate's statement.

BE IT FURTHER RESOLVED that in determining whether a candidate is indigent, the standard which shall be applied shall be the same utilized in the District's Customer Assistance Program.

BE IT FURTHER RESOLVED that the Secretary of the District is hereby directed to send a certified copy of this Resolution to the County Clerks of Alameda and Contra Costa Counties.



BE IT FURTHER RESOLVED that the provisions of this Resolution shall govern the 2016 election and all subsequent elections for the District's Board of Directors unless otherwise modified by this Board.

ADOPTED this 14<sup>th</sup> day of June, 2016 by the following vote:

AYES: **Directors Coleman, Katz, Linney, McIntosh, Patterson, Young, and President Mellon.**


NOES: **None.**

ABSENT: **None.**

ABSTAIN: **None.**

  
\_\_\_\_\_  
President

ATTEST:

  
\_\_\_\_\_  
Secretary

APPROVED AS TO FORM AND PROCEDURE:

  
\_\_\_\_\_  
General Counsel



## **EAST BAY MUNICIPAL UTILITY DISTRICT CAMPAIGN FINANCE REFORM ORDINANCE**

BE IT ENACTED by the Board of Directors of East Bay Municipal Utility District that this Ordinance is adopted as the policy of East Bay Municipal Utility District setting forth that:

Campaigns for election to the Board of Directors of the East Bay Municipal Utility District be conducted fairly and that each candidate for the Board be aware of the District's commitment to fair campaigns.

Candidates for election to the Board of Directors of the East Bay Municipal Utility District be permitted to accumulate the resources necessary to effectively advocate and to campaign for election to the Board.

Campaigns for election to the Board of Directors of the East Bay Municipal Utility District be free of corruption or the appearance of corruption.

Campaigns for election to the Board of Directors of East Bay Municipal Utility District be free from improper influence stemming from the dependence of candidates on large campaign contributions.

Campaign contributions be reasonably limited so as to not unduly infringe upon the First Amendment rights of political expression and association and not have a significant adverse effect on the funding of campaigns for District office.

The contribution limits set forth herein shall apply for each election to the Board of Directors of the East Bay Municipal Utility District.

### **I. FINDINGS AND DECLARATIONS**

The Board of Directors of the East Bay Municipal Utility District find and declare each of the following:

- (a) Monetary contributions to political campaigns are a legitimate form of participation in the American political process. However, disproportionately large contributions from certain persons or organizations may lead to a perception that they exercise a disproportionate or controlling influence upon candidates.
- (b) The increasing costs of political campaigns compel many candidates to raise larger percentages of money from interest groups with a specific financial stake in matters which may come before the Board of Directors. This has caused a public perception that votes may be improperly influenced by monetary contributions.



- (c) The tendency for campaign contributions to be dominated by a small number of very large contributors undermines the integrity of the governmental process, the competitiveness of campaigns, and the public's confidence in local officials and local agencies.

## **II. PURPOSE OF THIS ORDINANCE**

The Board of Directors enacts this Ordinance to accomplish the following purposes:

- (a) To improve methods of financing campaigns in order to ensure the public's right-to-know, combat corruption and undue influence, and promote citizen participation in the political process.
- (b) To prevent parties with a specific financial interest in the District's decisions from exerting undue influence over those decisions by means of large campaign contributions.
- (c) To improve the disclosure of contribution sources in reasonable and effective ways.
- (d) To restore public trust in governmental and electoral institutions.

## **III. DEFINITIONS**

1. Unless otherwise specifically provided in this Ordinance or required by the context, the words and phrases in this Ordinance shall have the same meanings as in the California Elections Code and in the Political Reform Act of 1974 (Government Code section 81000 et seq.) and regulations adopted thereunder.
2. "Candidate" means a candidate for election to the Board of Directors of the East Bay Municipal Utility District, or an incumbent who holds that office.
3. "Small Contributor Committee" means a committee of persons that has been in existence for more than six months and within 36 months before making a contribution has received contributions from 100 or more persons of no more than \$200 per person per calendar year and has made contributions to five or more candidates of at least \$25 each. For purposes of this paragraph, the term "Candidate" shall have the same meaning as in the Political Reform Act of 1974 (Government Code Section 82007).
4. "District" means the East Bay Municipal Utility District.
5. "Contribution" has the same meaning as in the Political Reform Act of 1974, Government Code section 82015, and includes a payment, a forgiveness of a loan, a payment of a loan by a third party, or an enforceable promise to make



a payment except to the extent that full and adequate consideration is received unless it is clear from the surrounding circumstances that it is not made for political purposes. A non-monetary contribution shall be valued at the true or estimated fair market value of the goods, services, or facilities contributed to the campaign. A fair market value is the price that a person would be required to pay to acquire the same goods or services in the open market place.

The term "contribution" does not include a payment made by an occupant of a home or office for costs related to any meeting or fundraising event held in the occupant's home or office if the costs for the meeting or fundraising event are five hundred dollars (\$500) or less; nor does it include volunteer personal services or payments made by any individual for his or her own travel expenses if such payments are made voluntarily without any understanding or agreement that they shall be, directly or indirectly, repaid to him or her.

A contribution to the committee designated by the candidate for his or her election to the District board is deemed a contribution to the candidate.

6. "Person" means an individual, proprietorship, firm, partnership, joint venture, syndicate, business trust, company, limited liability company, corporation, association, committee, and any other organization or group of persons acting in concert.
7. "Expenditure" has the same meaning as in the Political Reform Act of 1974, Government Code section 82025 and includes a payment, a forgiveness of a loan, a payment of a loan by a third party, or an enforceable promise to make a payment, unless it is clear from surrounding circumstances that it is not made for political purposes. "Expenditure" does not include a candidate's use of his or her own money to pay for either a filing fee for a declaration of candidacy or a candidate statement prepared pursuant to Section 13307 of the Elections Code. An expenditure is made on the date the payment is made or on the date consideration, if any, is received, whichever is earlier.
8. "Qualified Campaign Expenditure" means any expenditure made or incurred by a candidate or his or her agent for the purpose or with the primary effect of influencing or attempting to influence the actions of the voters for or against the election of the candidate. Such expenditures shall include, but are not limited to:
  - (a) Payments for fundraising and campaign strategy expenses for election to a future term of office;
  - (b) Payments for mass mailings, political advertising, opinion polls or surveys, and other broadcast or print communications in connection with election to a future term of office. For purposes of this section, a

mass mailing, political advertisement, opinion poll or survey, or other communication shall be considered "in connection with election to a future term of office" if it makes reference to the candidate's future election or status as a candidate for a future term of office, or if it is made by an incumbent officeholder within three (3) months prior to an election for which he or she will be a candidate and it features the candidate by name or image;

- (c) Payments for services and actual expenses of political consultants, the campaign treasurer and other campaign staff, pollsters and other persons providing services directly in connection with a future election;
- (d) Payments for office space, postage, office supplies, stationery, newsletters, and equipment which is used primarily for the administration of the candidate's campaign to a future term of office;
- (e) Payments for voter registration and get-out-the-vote drives;
- (f) That portion of the total cost of a slate mailing or mailing of other campaign literature produced or authorized by more than one candidate which is the cost actually paid or incurred by the candidate; and
- (g) A non-monetary contribution provided at the request of or with the approval of the candidate or his or her agent which is made in connection with the candidate's future election.

"Qualified campaign expenditure" does not include officeholder expenses.

9. "Officeholder expenses" means those expenditures that arise out of the performance of the officeholder's official duties, directly assist the officeholder in performing his or her official duties, or are directly related to a governmental purpose. Officeholder expenses include:

- (a) Donations to charitable organizations;
- (b) Cost of tickets to political or community events;
- (c) Postage, office supplies, stationery and similar expenses related to the conduct or performance of the officeholder's governmental activities and duties;
- (d) Reasonable expenses for travel to conferences, seminars, educational events or similar activities related to the officeholder's position; or



- (e) Costs of books or publications reasonably related to the officeholder's position.

The expenses listed in (a) through (e) shall be considered officeholder expenses as long as they are not used in connection with the candidate's election to a future term of office.

#### **IV. CAMPAIGN CONTRIBUTION LIMITATIONS**

##### **1. Limitations on Contributions from Persons**

- (a) Except as provided in Paragraph IV.2 of this Ordinance, no person shall make to any candidate and no such candidate shall solicit or accept any contribution which would cause the total amount contributed by that person to that candidate to exceed \$600 for each election. The District shall adjust this amount in January of every odd-numbered year based on the increase or decrease in the San Francisco/Oakland Consumer Price Index for Urban Wage Earners and Clerical Workers. This adjustment shall be rounded to the nearest ten dollars (\$10).
- (b) No person shall make an anonymous contribution or contributions to a candidate, and no candidate shall accept or solicit an anonymous contribution, totaling twenty-five dollars (\$25) or more for an election.
- (c) A candidate shall maintain a written record of the name and address of each person from whom contributions of twenty-five dollars (\$25) or more are received for an election.
- (d) The provisions of this paragraph shall not apply to a candidate's contribution of his or her own personal funds to his or her designated committee. "Personal funds" includes a loan obtained from a commercial lending institution.
- (e) A candidate may not personally loan to his or her campaign an amount, the outstanding balance of which exceeds ten thousand dollars (\$10,000).

##### **2. Limitations on Contributions from Small Contributor Committees**

No small contributor committee shall make contributions to any candidate and no candidate shall solicit or accept any contribution which would cause the total amount contributed by that small contributor committee to that candidate to exceed \$1,200 for each election.

3. Return of Excess Contributions

A contribution need not be reported nor shall it be deemed accepted if it is not cashed, negotiated, or deposited and is returned to the contributor before the closing date of the campaign statement on which the contribution would otherwise be reported.

4. Prohibition on Contributions From Contractors Doing Business With the District

- (a) No person who contracts with the District, pursuant to a contract approved by the Board of Directors for the rendition of personal services, for the furnishing of any material, supplies, or equipment to the District or for selling of any land or building to the District, whenever the contract was not obtained as a result of a competitive bidding process, shall make any contribution to a candidate at any time between the submittal of a proposal for said contract and one year following the completion of the performance under such contract.
- (b) No person who submits a proposal to contract with the District, pursuant to a contract to be approved by the Board of Directors for the rendition of personal services, for the furnishing of any material, supplies, or equipment to the District or for the selling of any land or building to the District, when the contract is not subject to the competitive bidding process, shall make any contribution to a candidate at any time between the submission of a proposal for said contract and a final determination by the District to reject the proposal.
- (c) No candidate, or his or her agent, shall knowingly solicit or accept any contribution from any person or organization prohibited by Paragraph IV.4(a) or (b) of this Ordinance from making such contribution.
- (d) No person who knowingly violates Paragraph IV.4(a) or (b) of this Ordinance shall be awarded a contract which is not obtained as a result of a competitive bidding process for one (1) year after the date of the violation.

5. Limitations on Transfers from Candidate Controlled Committees

Contributions received by any other committee controlled by a candidate shall be subject to the contribution limitations set forth in this Ordinance when such contributions are transferred to the candidate's committee for election to the District board. The following method shall be utilized to calculate the amount that is in compliance with the contribution limitations.



- (a) The candidate shall review the contributions which have been received by the candidate controlled committee beginning with the last contribution received and working back in time until the total amount of cash and cash equivalents held by the candidate controlled committee is reached.
- (b) Should the review indicate that the aggregate amount of contributions from a contributor in the candidate controlled committee and in the candidate's committee for election to the District board exceeds any applicable limitation, the total amount that may be transferred shall be reduced by the amount in excess of the applicable contribution limitation.

6. Post-Election Fundraising

- (a) A contribution for an election may be accepted by a candidate after the date of the election only to the extent that the contribution does not exceed net debts outstanding from the election, and the contribution does not otherwise exceed the applicable contribution limit for that election.
- (b) "Net debts outstanding from the election" includes all of the following:
  - (1) An amount necessary to cover the cost of raising funds as permitted under this Ordinance.
  - (2) Costs related to complying with the post-election filing requirements of this Ordinance and the Political Reform Act of 1974 and for other reasonable and necessary administrative costs related to winding down the campaign, including office space rental, staff salaries, and office supplies.
  - (3) Legal fees and expenses incurred directly in connection with monitoring the count of absentee or provisional ballots for the election, or with a ballot recount.
  - (4) The total amount of unpaid debts, loans and accrued expenditures incurred with respect to the election, less the sum of both of the following:
    - (A) The total cash on hand available to pay those debts and obligations, including: currency; balances on deposit in banks, savings and loan institutions, and other depository institutions; traveler's checks; certificates of

deposit; treasury bills; and any other committee investments valued at fair market value.

- (B) The total amounts owed to the candidate controlled committee in the form of credits, refunds of deposits, returns, or receivables, or a commercially reasonable amount based on the collectability of those credits, refunds, returns, or receivables.
- (c) **Raising Funds.** A candidate may accept contributions after the date of the election only up to the amount of net debts outstanding from the election. The contributions accepted are subject to the applicable contribution limit for that election. The candidate shall reduce the total amount of net debts outstanding as additional funds are received. The candidate and his or her controlled committee(s) may not accept a contribution that exceeds the total amount of net debts outstanding on the date the contribution is received. A contribution that exceeds the amount of net debts outstanding shall be treated in the same manner as a contribution in excess of the contribution limits.
- (d) **Paying Net Debt.** A candidate may only use a contribution accepted after the election for payment of net debts outstanding from the election. The candidate shall use available funds to pay net debts outstanding as soon as practicable.
- (e) **Transfer.** A candidate may transfer campaign funds from another of his or her controlled committees for the purpose of paying the net debts outstanding of his or her District committee. A transfer of this type is subject to the contribution limits and attribution requirements of this Ordinance.

## 7. Surplus Funds

- (a) Funds remaining in the committee established by the candidate for his or her election to the District board as of the end of the first postelection reporting period after the candidate is defeated or has left office may be used only for the following purposes:
  - (1) To pay campaign debts or debts from officeholder expenses;
  - (2) To refund contributions;
  - (3) To donate to any bona fide charitable, educational, civic, religious, or similar tax-exempt, nonprofit organization, where no substantial part of the proceeds will have a material financial effect on



the candidate, any member of his or her immediate family, or his or her campaign treasurer; and

(4) To pay professional services reasonably required by the committee to assist in the performance of its administrative functions, including payment for attorney's fees for litigation arising directly out of the candidate's duties or status as a candidate or elected officer, including, but not limited to, an action to enjoin defamation, defense of an action brought of a violation of state or local campaign, disclosure, or election laws, and an action from an election contest or recount.

(b) Funds remaining in the committee established by the candidate for his or her election to the District board as of the end of the first postelection reporting period after the candidate is defeated or has left office may not be used for his or her election to any other office unless they are first transferred to a committee set up for that other office.

## **V. VOLUNTARY EXPENDITURE CEILING**

### **1. Ballot Designation of Candidate Accepting Voluntary Expenditure Ceiling**

Candidates who adopt the voluntary expenditure ceiling as defined below shall be designated in the voter information portion of the sample ballot as having voluntarily agreed to the expenditure ceiling set forth in this paragraph.

### **2. Statement Accepting Voluntary Expenditure Ceiling**

All candidates who accept the voluntary campaign expenditure ceiling as defined below must file a statement with the Secretary of the District indicating acceptance of the expenditure ceiling and acknowledging such decision to be irrevocable. Said statement shall be filed no later than the time for filing the FPPC Form 501 (Candidate Statement of Intention). A candidate who does not adopt the voluntary campaign expenditure ceiling by filing the required statement shall be presumed to have rejected the expenditure ceiling.

### **3. Statement Declining Voluntary Expenditure Ceiling**

Candidates who decline to accept the campaign expenditure ceiling shall file a statement with the Secretary of the District indicating their decision not to adopt the expenditure ceiling. Said statement shall be filed no later than the time for filing the FPPC Form 501 (Candidate Statement of Intention). A candidate who has filed a statement with the Secretary of the District indicating his or her decision not to accept the expenditure ceiling may, no later than the deadline for filing nomination papers within section 8020 of the Elections Code, revoke such decision by filing with the Secretary of the

District a statement accepting the expenditure ceiling and a separate statement, signed under penalty of perjury, verifying that the candidate's qualified campaign expenditures to date have not exceeded the expenditure ceiling.

4. Amount of Expenditure Ceiling

Candidates who agree to expenditure ceilings shall not incur qualified campaign expenditures during the election cycle exceeding \$0.53 (fifty-three cents) multiplied by the number of residents in the ward in which the candidate seeks election. At the beginning of each election cycle, the number of residents in each ward shall be determined by the Secretary of the District based upon EBMUD's redistricting plan or federal census data, whichever provides the most current information.

The District shall adjust the amount otherwise determined under Paragraph V.4 in January of every odd-numbered year based on the increase or decrease in the San Francisco/ Oakland Consumer Price Index for Urban Wage Earners and Clerical Workers. This adjustment shall be rounded to the nearest one hundred dollars (\$100).

5. Expenditure Ceiling Lifted

If any candidate declines to accept the campaign expenditure ceiling by the deadline provided in paragraph 3 of this section, then the expenditure ceiling shall no longer be binding on any candidate.

## VI. DISCLOSURE

1. Statements of Organization, Candidate Intention Statements, and Campaign Statements.

Any Statement of Organization (Form 410), Candidate Intention Statement (Form 501) and Campaign Statements (including Forms 460, 465, 470, 495, 496 or 497) required to be filed under the Political Reform Act of 1974 (Government Code Section 81000 et seq.) shall also be filed at the same time with the Secretary of the District. The candidate's obligation to file such campaign statements with the Secretary of the District shall continue until such time as the candidate has filed all campaign statements required by the Political Reform Act of 1974 for the period ending December 31 following the election, including the Semi-Annual Campaign Statement (Form 460) due on January 31 following the election.



2. Statement Accepting or Declining Voluntary Expenditure Ceiling

Each candidate shall file a statement with the Secretary of the District accepting or declining the voluntary expenditure ceiling for each election as set forth in paragraphs VI.1 and VI.2 of this Ordinance. The Secretary shall provide each candidate with a form that may be used for this purpose.

3. Press Disclosure

The Secretary of the District shall, upon determining that a candidate has failed to comply with any filing deadline set forth in this Ordinance, immediately notify the candidate of the apparent violation by any method that provides for confirmation of receipt, including but not limited to certified mail, telephone call and e-mail. The candidate shall be given five (5) working days from the date of actual notification to either cure the violation or to demonstrate that the required filings have been made. Upon conclusion of the five-day period, if the candidate has not demonstrated that full compliance has occurred, the Secretary shall disclose to the public by press release the name of any candidate who has failed to file any statements required under this Ordinance in the current election.

**VII. INDEPENDENT EXPENDITURES IN DISTRICT ELECTIONS**

1. Campaign Advertising Disclosure

Any committee primarily formed to support or oppose candidates in the District Board election that makes, during the calendar year in which the election is held, more than \$1000 in independent expenditures to support or oppose any candidate for the District Board shall list the following information in a clear and legible manner on the bottom one-third of the front page of any printed communication, including mailings, yard signs, billboards, bumper stickers and campaign buttons 10 inches in diameter or larger, paid for by the committee that mentions a candidate or the election: "Paid for by [name of committee]. Major funding by [name and occupation of two largest contributors to the committee within the prior 12 months]."

The requirements of this paragraph shall not apply to any communication distributed by an organization solely to its own members, employees, shareholders, or families of members, employees, or shareholders.

2. Independent Expenditure Reports

Any committee that makes independent expenditures totaling five hundred dollars (\$500) or more in a calendar year to support or oppose a candidate for election to the District Board shall file with the Secretary of the District a copy of all campaign

statements required to be filed under the California Political Reform Act of 1974. The deadline for filing such campaign statements with the Secretary shall be the same deadline for filing campaign statements with the California Secretary of State or any county clerk as set forth in the California Political Reform Act of 1974.

## **VIII. ENFORCEMENT**

### **1. Campaign Statement Review**

- (a) The Secretary of the District shall monitor all campaign forms and statements filed by candidates for the District Board and shall notify the candidate of any of the following apparent violations of this Ordinance:

  - (i) The non-filing or late filing of any required campaign forms or statements.
  - (ii) A statement that does not conform on its face with the requirements of this Ordinance.
  - (iii) Any reported contributions that exceed the allowable maximums established under this Ordinance.
- (b) The Secretary of the District shall also investigate any report or information received indicating that a candidate may have failed to file a statement required under this Ordinance, if the Secretary has sufficient information to reasonably conduct such investigation.
- (c) The candidate shall be allowed to correct any reports within five days after receipt of notice of an apparent violation by the Secretary of the District.
- (d) The Secretary of the District shall refer to the Fair Political Practices Commission any complaint alleging a violation of the Political Reform Act of 1974 (Government Code Section 81000 et seq.) by any candidate or committee and shall cooperate in any investigation conducted by the Commission as a result of such referral.



## **2. Violations**

- (a) In addition to any other remedies provided in this Ordinance, the East Bay Municipal Utility District and any person residing in the District may bring a civil action against any person or committee who intentionally or negligently violates the reporting requirements or the contribution and expenditure limitations set forth herein, and may also sue for injunctive relief to enjoin violations or to compel compliance with the provisions of this Ordinance. Any such action must be brought within 4 (four) years of the date of the violation.
- (b) In any legal action brought under this Ordinance for injunctive relief or civil liability, the court may award to a plaintiff or defendant who prevails his or her costs of litigation, including reasonable attorney's fees.
- (c) In any legal action brought under this Ordinance for injunctive relief or civil liability, where it is determined that the candidate has accepted a contribution or contributions in excess of the applicable limit set forth herein, the full amount of said contribution(s) shall be forfeited to the District general fund. If funds are not available in the candidate's designated committee account for this purpose, the candidate shall be personally liable to pay said amount to the District general fund.

## **3. Enforcement by Other Agencies**

Nothing in Paragraph VII shall be construed as limiting the authority of any law enforcement agency, prosecuting attorney or other person to enforce the provisions of this Ordinance, under any circumstances where such law enforcement agency, prosecuting attorney or other person has lawful authority to do so.

## **IX. APPLICABILITY OF OTHER LAWS**

Nothing in this Ordinance shall exempt any person or committee from applicable provisions of any other laws of this State.

## **X. SEVERABILITY**

If any provision of this Ordinance shall be held invalid, the remainder of this Ordinance to the extent it can be given effect, shall not be affected thereby, and to this extent the provisions of this Ordinance are severable.

THE EFFECTIVE DATE of this Ordinance shall be May 26, 1992; the amendments adopted on February 8, 1994 shall take effect on May 11, 1994 provided however that the contribution limits specified in Paragraphs IV.1 (a) and IV.2(a) shall take effect on, January 25, 1994; the amendments adopted on March 12, 1996 shall take effect on April 11, 1996; the amendments adopted on June 9, 1998 shall take effect on July 9, 1998; the amendments adopted on August 11, 1998 shall take effect on September 10, 1998; the amendments adopted on January 8, 2002 shall take effect on February 7, 2002; the amendments adopted on January 12, 2010 shall take effect on February 12, 2010.

W:\ELECTION\CFROAmendments2010.DOC



# **East Bay Municipal Utility District Board of Directors Election – 2016**

## **Voluntary Expenditure Ceiling**

Candidates who agree to expenditure ceilings shall not incur campaign expenditures during the election cycle exceeding .60 cents multiplied by the number of residents in the ward in which the candidates seeks election.

---

<b>Ward</b>	<b>Population</b>	<b>Adjustment</b>	<b>Expenses</b>
<b>1*</b>	<b>190,433</b>	<b>0.60</b>	<b>\$114,259</b>
2	192,818	0.60	\$115,690
3	188,131	0.60	\$112,878
4	192,098	0.60	\$115,258
<b>5*</b>	<b>192,447</b>	<b>0.60</b>	<b>\$115,468</b>
<b>6*</b>	<b>192,488</b>	<b>0.60</b>	<b>\$115,492</b>
7	189,367	0.60	\$113,620

\*Wards on November 2016 Ballot

## **Campaign Contribution Limits**

Limitations on Contributions from Persons:	\$680
Anonymous Contribution Limit:	\$25
Candidate Personal Loan*:	\$10,000
Limitations on Contributions from Small Contributor Committees:	\$1,200

\*“Personal Funds” includes a loan obtained from a commercial lending institution.



TO: Candidates for Election to EBMUD's Board of Directors

SUBJECT: Completion of Forms in Compliance with the East Bay Municipal Utility District Campaign Finance Reform Ordinance

To assist you in complying with some of the reporting requirements set forth in the East Bay Municipal Utility District (EBMUD) Campaign Finance Reform Ordinance ("the Ordinance"), the following forms have been included in the candidate packet for your convenience:

- **EBMUD Candidate Statement Accepting Voluntary Campaign Expenditure Ceiling;**
- **EBMUD Candidate Statement Declining Voluntary Campaign Expenditure Ceiling; and**
- **EBMUD Candidate Statement Revoking Decision Declining the Voluntary Campaign Expenditure Ceiling and Declaration that Expenditures Have Not Exceeded that Expenditure Ceiling.**

You should consult the provisions of the Ordinance to verify that you have provided all of the information which must be reported to the EBMUD Secretary of the District in relation to the conduct of your campaign for election to the Board of Directors.

Please be advised that the forms provided do not satisfy all of your responsibilities under the Ordinance or the filing requirements under the Political Reform Act. You will also need to file some, or all, of the following Fair Political Practices Commission (FPPC) forms, as applicable:

- **Form 501 – Candidate Intention Statement**
- **Form 700 – Statement of Economic Interests**
- **Form 410 – Statement of Organization – Recipient Committee**
- **Form 460 – Recipient Committee Campaign Statement**
- **Form 470 – Officeholder and Candidate Campaign Statement**
- **Form 497 – 24-Hour Contribution Report**
- **Form 495 – Supplemental Pre-Election Campaign Statements**

These forms may be obtained from the FPPC website at [www.fppc.ca.gov](http://www.fppc.ca.gov) or by calling (866) 275-3772 or (916) 322-5660.

*Filing with the EBMUD Secretary*

Please submit each statement in a timely manner, with attachments where appropriate. Each form should be completed in its entirety. You may file your initial forms with the County Clerk at the time you file your nomination papers. Should you have any questions about the information required on the forms, please consult the appropriate section of the Ordinance. If you have further questions regarding compliance with the Ordinance, please contact Secretary of the District Lynelle M. Lewis at (510) 287-0404.

LML:rj





## Candidate Statement Accepting Voluntary Campaign Expenditure Ceiling

-- File at the time of filing Form 501

-- File with the EBMUD Secretary

NAME OF CANDIDATE:	DATE OF DISTRICT ELECTION:
DESIGNATED COMMITTEE:	I.D. NUMBER:

I, \_\_\_\_\_, declare that I am a candidate in Ward Number \_\_\_\_\_ for election to the East Bay Municipal Utility District Board of Directors. I hereby agree to accept the voluntary campaign expenditure ceiling as defined in Paragraph V of the East Bay Municipal Utility District Campaign Finance Reform Ordinance ("Ordinance") of which I have been provided a copy. Further, I understand that the Secretary of the District has determined that the campaign expenditure ceiling in this Ward is \$\_\_\_\_\_ for this election.

I understand that the execution of this Statement, whereby I voluntarily agree to accept said campaign expenditure ceiling, is irrevocable and will govern all qualified campaign expenditures, as defined in the Ordinance, incurred for this election. I further understand that, as a result of my voluntary agreement to accept said campaign expenditure ceiling, I will be designated in the voter information portion of the sample ballot as having accepted the voluntary expenditure ceiling.

I am further advised and understand that civil action may be brought against any person or committee who intentionally or negligently violates the contribution and expenditure limitations set forth in the Ordinance.

Executed on the \_\_\_\_\_ day of \_\_\_\_\_.

\_\_\_\_\_  
Name of Candidate

\_\_\_\_\_  
Signature of Candidate



# Candidate Statement Declining Voluntary Campaign Expenditure Ceiling

-- File at the time of filing Form 501

-- File with the EBMUD Secretary

NAME OF CANDIDATE:	DATE OF DISTRICT ELECTION:
DESIGNATED COMMITTEE:	I.D. NUMBER:

I, \_\_\_\_\_, declare that I am a candidate for election to the East Bay Municipal Utility District Board of Directors. I hereby decline to accept the voluntary campaign expenditure ceiling as defined in Paragraph V of the East Bay Municipal Utility District Campaign Finance Reform Ordinance ("Ordinance"), of which I have been provided a copy, for this election.

I understand that no later than the filing deadline for nomination papers under Section 8020 of the Elections Code, I may revoke my decision not to accept the campaign expenditure ceiling by filing with the Secretary of the District the "Candidate Statement Revoking Decision Declining the Voluntary Campaign Expenditure Ceiling" and the "Candidate Statement Accepting Voluntary Campaign Expenditure Ceiling."

I am further advised and understand that civil action may be brought against any person or committee who intentionally or negligently violates the contribution and expenditure limitations set forth in the Ordinance.

Executed on the \_\_\_\_\_ day of \_\_\_\_\_.

\_\_\_\_\_  
Name of Candidate

\_\_\_\_\_  
Signature of Candidate





**Candidate Statement  
Revoking Decision Declining the Voluntary  
Campaign Expenditure Ceiling and  
Declaration that Expenditures Have Not Exceeded  
the Expenditure Ceiling**

*-- File no later than the deadline for filing nomination papers under Elections Code Section 8020*

*-- File with the EBMUD Secretary*

NAME OF CANDIDATE:	DATE OF DISTRICT ELECTION:
DESIGNATED COMMITTEE:	I.D. NUMBER:

I, \_\_\_\_\_, declare that I am a candidate in Ward Number \_\_\_\_\_ for election to the East Bay Municipal Utility District Board of Directors. I hereby revoke my decision declining to accept the voluntary campaign expenditure ceiling in the District election indicated above. I expressly rescind the "Statement Declining Voluntary Campaign Expenditure Ceiling" executed by me and currently on file with the Secretary of East Bay Municipal Utility District.

I declare that my campaign expenditures have not exceeded the applicable campaign expenditure ceiling.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on the \_\_\_\_\_ day of \_\_\_\_\_.

\_\_\_\_\_  
Name of Candidate

\_\_\_\_\_  
Signature of Candidate

**NOTE:** Attach this Revocation to a completed "Candidate Statement Accepting Voluntary Expenditure Ceiling."

# **California Form 700**

## **Fair Political Practices Commission**

The Political Reform Act requires that candidates for certain offices file a Statement of Economic Interests (Form 700) disclosing the candidate's personal financial interests (Government Code section 87201). Candidates for EBMUD Board of Directors are subject to this requirement. Form 700 should be filed at the time of filing the Declaration of Candidacy. A copy of Form 700 is attached for your convenience.

*In addition to filing Form 700 with the County Clerk/Registrar, the East Bay Municipal Utility District Campaign Finance Reform Ordinance requires that candidates file copies of the Form 700 with the EBMUD Secretary of the District Lynelle M. Lewis, 375 Eleventh Street, MS 806, Oakland, CA 94607-4246.*

Please contact the Fair Political Practices Commission with questions about this form:

1-866-ASK-FPPC (1-866-275-3772)  
[advice@fppc.ca.gov](mailto:advice@fppc.ca.gov) – [www.fppc.ca.gov](http://www.fppc.ca.gov)

Attachments: 2015/2016 Statement of Economic Interests Form 700

w:\elections\elections 2016\candidate kit\fppc compliance\_2016.doc



# 2015/2016 Statement of Economic Interests



---

## Form 700

A Public Document

*Also available on the FPPC website:*

- ***Form 700 in Excel format***
- ***Reference Pamphlet for Form 700***

### California Fair Political Practices Commission

428 J Street, Suite 620 • Sacramento, CA 95814

Email Advice: [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)

Toll-free advice line: 1 (866) ASK-FPPC • 1 (866) 275-3772

Telephone: (916) 322-5660 • Website: [www.fppc.ca.gov](http://www.fppc.ca.gov)

---

## What's New

### Gifts of Travel

Effective January 1, 2016, if an individual receives a travel payment that is a reportable gift, he or she must disclose the travel destination. (See the Schedule E instructions for information about other details that must be disclosed.) This applies to travel taken on or after January 1, 2016. An individual who is filing a 2015 annual statement is not required to disclose the travel destination, but may do so.

### Who must file:

- Elected and appointed officials and candidates listed in Government Code Section 87200
- Employees, appointed officials, and consultants filing pursuant to a conflict of interest code ("code filers").  
**Obtain your disclosure categories, which describe the interests you must report, from your agency; they are not part of the Form 700**
- Candidates running for local elective offices that are designated in a conflict of interest code (e.g., county sheriffs, city clerks, school board trustees, and water board members)
- Members of newly created boards and commissions not yet covered under a conflict of interest code
- Employees in newly created positions of existing agencies

See Reference Pamphlet, page 3, at [www.fppc.ca.gov](http://www.fppc.ca.gov).

### Where to file:

#### 87200 Filers

State offices	➔	Your agency
Judicial offices	➔	The clerk of your court
Retired Judges	➔	Directly with FPPC
County offices	➔	Your county filing official
City offices	➔	Your city clerk
Multi-County offices	➔	Your agency

**Code Filers — State and Local Officials, Employees, and Consultants Designated in a Conflict of Interest Code:** File with your agency, board, or commission unless otherwise specified in your agency's conflict of interest code (e.g., Legislative staff files directly with FPPC). In most cases, the agency, board, or commission will retain the statements.

**Members of Boards and Commissions of Newly Created Agencies:** File with your newly created agency or with your agency's code reviewing body.

**Employees in Newly Created Positions of Existing Agencies:** File with your agency or with your agency's code reviewing body. See Reference Pamphlet, page 3.

**Candidates:** File with your local elections office.

### How to file:

The Form 700 is available at [www.fppc.ca.gov](http://www.fppc.ca.gov). Form 700 schedules are also available in Excel format. All statements must have an original "wet" signature or be duly authorized by your filing officer to file electronically under Government Code Section 87500.2. Instructions, examples, FAQs, and a reference pamphlet are available to help answer your questions.

### When to file:

#### Annual Statements

##### ➔ March 1, 2016

- Elected State Officers
- Judges and Court Commissioners
- State Board and Commission Members listed in Government Code Section 87200

##### ➔ April 1, 2016

- Most other filers

Individuals filing under conflict of interest codes in city and county jurisdictions should verify the annual filing date with their local filing officers.

Statements postmarked by the filing deadline are considered filed on time.

#### Assuming Office and Leaving Office Statements

Most filers file within 30 days of assuming or leaving office or within 30 days of the effective date of a newly adopted or amended conflict of interest code.

Exception:

If you assumed office between October 1, 2015, and December 31, 2015, and filed an assuming office statement, you are not required to file an annual statement until March 1, 2017, or April 3, 2017, whichever is applicable. The annual statement will cover the day after you assumed office through December 31, 2016. See Reference Pamphlet, pages 6 and 7, for additional exceptions.

#### Candidate Statements

File no later than the final filing date for the declaration of candidacy or nomination documents.

#### Amendments

Statements may be amended at any time. You are only required to amend the schedule that needs to be revised. It is not necessary to amend the entire filed form. Obtain amendment schedules at [www.fppc.ca.gov](http://www.fppc.ca.gov).

**There is no provision for filing deadline extensions unless the filer is serving in active military duty.**

Statements of 30 pages or less may be faxed by the deadline as long as the originally signed paper version is sent by first class mail to the filing official within 24 hours.

## Introduction

The Political Reform Act (Gov. Code Sections 81000-91014) requires most state and local government officials and employees to publicly disclose their personal assets and income. They also must disqualify themselves from participating in decisions that may affect their personal economic interests. The Fair Political Practices Commission (FPPC) is the state agency responsible for issuing the attached Statement of Economic Interests, Form 700, and for interpreting the law's provisions.

### Gift Prohibition

Gifts received by most state and local officials, employees, and candidates are subject to a limit. For years 2015-2016, the limit is \$460 from a single source during a calendar year.

In addition, state officials, state candidates, and certain state employees are subject to a \$10 limit per calendar month on gifts from lobbyists and lobbying firms registered with the Secretary of State. See Reference Pamphlet, page 10.

State and local officials and employees should check with their agency to determine if other restrictions apply.

### Disqualification

Public officials are, under certain circumstances, required to disqualify themselves from making, participating in, or attempting to influence governmental decisions that will affect their economic interests. This may include interests they are not required to disclose (i.e., a personal residence is often not reportable, but may be disqualifying). Specific disqualification requirements apply to 87200 filers (e.g., city councilmembers, members of boards of supervisors, planning commissioners, etc.). These officials must publicly identify the economic interest that creates a conflict of interest and leave the room before a discussion or vote takes place at a public meeting. For more information, consult Government Code Section 87105, Regulation 18707, and the Guide to Recognizing Conflicts of Interest at [www.fppc.ca.gov](http://www.fppc.ca.gov).

### Honorarium Ban

Most state and local officials, employees, and candidates are prohibited from accepting an honorarium for any speech given, article published, or attendance at a conference, convention, meeting, or like gathering. See Reference Pamphlet, page 10.

### Loan Restrictions

Certain state and local officials are subject to restrictions on loans. See Reference Pamphlet, page 14.

### Post-Governmental Employment

There are restrictions on representing clients or employers before former agencies. The provisions apply to elected state officials, most state employees, local elected officials, county chief administrative officers, city managers, including the chief administrator of a city, and general managers or chief administrators of local special districts and JPAs. The FPPC website has fact sheets explaining the provisions.

### Late Filing

The filing officer who retains originally-signed or electronically filed statements of economic interests may impose on an individual a fine for any statement that is filed late. The fine is \$10 per day up to a maximum of \$100. Late filing penalties may be reduced or waived under certain circumstances.

Persons who fail to timely file their Form 700 may be referred to the FPPC's Enforcement Division (and, in some cases, to the Attorney General or district attorney) for investigation and possible prosecution. In addition to the late filing penalties, a fine of up to \$5,000 per violation may be imposed.

**For assistance** concerning reporting, prohibitions, and restrictions under the Act:

- Email questions to [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov).
- Call the FPPC toll-free at (866) 275-3772.

### Form 700 is a Public Document Public Access Must Be Provided

Statements of Economic Interests are public documents. The filing officer must permit any member of the public to inspect and receive a copy of any statement.

- Statements must be available as soon as possible during the agency's regular business hours, but in any event not later than the second business day after the statement is received. Access to the Form 700 is not subject to the Public Records Act procedures.
- No conditions may be placed on persons seeking access to the forms.
- No information or identification may be required from persons seeking access.
- Reproduction fees of no more than 10 cents per page may be charged.



## Types of Form 700 Filings

---

### Assuming Office Statement:

If you are a newly appointed official or are newly employed in a position designated, or that will be designated, in a state or local agency's conflict of interest code, your assuming office date is the date you were sworn in or otherwise authorized to serve in the position. If you are a newly elected official, your assuming office date is the date you were sworn in.

- Investments, interests in real property, and business positions held on the date you assumed the office or position must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date you assumed the office or position is reportable.

For positions subject to confirmation by the State Senate or the Commission on Judicial Performance, your assuming office date is the date you were appointed or nominated to the position.

### Example:

Maria Lopez was nominated by the Governor to serve on a state agency board that is subject to state Senate confirmation. The assuming office date is the date Maria's nomination is submitted to the Senate. Maria must report investments, interests in real property, and business positions she holds on that date, and income (including loans, gifts, and travel payments) received during the 12 months prior to that date.

If your office or position has been added to a newly adopted or newly amended conflict of interest code, use the effective date of the code or amendment, whichever is applicable.

- Investments, interests in real property, and business positions held on the effective date of the code or amendment must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the effective date of the code or amendment is reportable.

### Annual Statement:

Generally, the period covered is January 1, 2015, through December 31, 2015. If the period covered by the statement is different than January 1, 2015, through December 31, 2015, (for example, you assumed office between October 1, 2014, and December 31, 2014 or you are combining statements), you must specify the period covered.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2015.

- If your disclosure category changes during a reporting period, disclose under the old category until the effective date of the conflict of interest code amendment and disclose under the new disclosure category through the end of the reporting period.

### Leaving Office Statement:

Generally, the period covered is January 1, 2015, through the date you stopped performing the duties of your position. If the period covered differs from January 1, 2015, through the date you stopped performing the duties of your position (for example, you assumed office between October 1, 2014, and December 31, 2014, or you are combining statements), the period covered must be specified. The reporting period can cover parts of two calendar years.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2015.

### Candidate Statement:

If you are filing a statement in connection with your candidacy for state or local office, investments, interests in real property, and business positions held on the date of filing your declaration of candidacy must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date of filing your declaration of candidacy is reportable. Do not change the preprinted dates on Schedules A-1, A-2, and B.

Candidates running for local elective offices (e.g., county sheriffs, city clerks, school board trustees, or water district board members) must file candidate statements, as required by the conflict of interest code for the elected position. The code may be obtained from the agency of the elected position.

### Amendments:

If you discover errors or omissions on any statement, file an amendment as soon as possible. You are only required to amend the schedule that needs to be revised; it is not necessary to refile the entire form. Obtain amendment schedules from the FPPC website at [www.fppc.ca.gov](http://www.fppc.ca.gov).

# Instructions

## Cover Page

Enter your name, mailing address, and daytime telephone number in the spaces provided. **Because the Form 700 is a public document, you may list your business/office address instead of your home address.**

### Part 1. Office, Agency, or Court

- Enter the name of the office sought or held, or the agency or court. Consultants must enter the public agency name rather than their private firm's name. (Examples: State Assembly; Board of Supervisors; Office of the Mayor; Department of Finance; Hope County Superior Court)
- Indicate the name of your division, board, or district, if applicable. (Examples: Division of Waste Management; Board of Accountancy; District 45). **Do not use acronyms.**
- Enter your position title. (Examples: Director; Chief Counsel; City Council Member; Staff Services Analyst)
- If you hold multiple positions (i.e., a city council member who also is a member of a county board or commission), you may be required to file statements with each agency. To simplify your filing obligations, you may complete an expanded statement.
- To do this, enter the name of the other agency(ies) with which you are required to file and your position title(s) in the space provided. **Do not use acronyms.** Attach an additional sheet if necessary. Complete one statement covering the disclosure requirements for all positions. Each copy must contain an original signature. Therefore, before signing the statement, make a copy for each agency. Sign each copy with an original signature and file with each agency.

If you assume or leave a position after a filing deadline, you must complete a separate statement. For example, a city council member who assumes a position with a county special district after the April 1 annual filing deadline must file a separate assuming office statement. In subsequent years, the city council member may expand his or her annual filing to include both positions.

### Example:

Scott Baker is a city council member for the City of Lincoln and a board member for the Camp Far West Irrigation District – a multi-county agency that covers Placer and Yuba counties. Scott will complete one Form 700 using full disclosure (as required for the city position) and covering interests in both Placer and Yuba counties (as required for the multi-county position) and list both positions on the Cover Page. Before signing the statement, Scott will make a copy and sign both statements. One statement will be filed with City of Lincoln and the other will be filed with Camp Far West Irrigation District. Both will contain an original signature.

### Part 2. Jurisdiction of Office

- Check the box indicating the jurisdiction of your agency and, if applicable, identify the jurisdiction. Judges, judicial candidates, and court commissioners have statewide jurisdiction. All other filers should review the Reference Pamphlet, page 13, to determine their jurisdiction.
- If your agency is a multi-county office, list each county in which your agency has jurisdiction.

- If your agency is not a state office, court, county office, city office, or multi-county office (e.g., school districts, special districts and JPAs), check the “other” box and enter the county or city in which the agency has jurisdiction.

### Example:

This filer is a member of a water district board with jurisdiction in portions of Yuba and Sutter Counties.

### Part 3. Type of Statement

<b>1. Office, Agency, or Court</b>	
Agency Name (Do not use acronyms)	
Feather River Irrigation District	
Division, Board, Department, District, if applicable	Your Position
N/A	Board Member
► If filing for multiple positions, list below or on an attachment. (Do not use acronyms)	
Agency: N/A	Position:
<b>2. Jurisdiction of Office (Check at least one box)</b>	
<input type="checkbox"/> State	<input type="checkbox"/> Judge or Court Commissioner (Statewide Jurisdiction)
<input checked="" type="checkbox"/> Multi-County Yuba & Sutter Counties	<input type="checkbox"/> County of
<input type="checkbox"/> City of	<input type="checkbox"/> Other

Check at least one box. The period covered by a statement is determined by the type of statement you are filing. If you are completing a 2015 annual statement, **do not** change the pre-printed dates to reflect 2016. Your annual statement is used for reporting the **previous year's** economic interests. Economic interests for your annual filing covering January 1, 2016, through December 31, 2016, will be disclosed on your statement filed in 2017. See Reference Pamphlet, page 4.

Combining Statements: Certain types of statements may be combined. For example, if you leave office after January 1, but before the deadline for filing your annual statement, you may combine your annual and leaving office statements. File by the earliest deadline. Consult your filing officer or the FPPC.

### Part 4. Schedule Summary

- Complete the Schedule Summary after you have reviewed each schedule to determine if you have reportable interests.
- Enter the total number of completed pages including the cover page and either check the box for each schedule you use to disclose interests; **or** if you have nothing to disclose on any schedule, check the “No reportable interests” box. Please **do not** attach any blank schedules.

### Part 5. Verification

Complete the verification by signing the statement and entering the date signed. All statements must have an original “wet” signature or be duly authorized by your filing officer to file electronically under Government Code Section 87500.2. Instructions, examples, FAQs, and a reference pamphlet are available to help answer your questions. **When you sign your statement, you are stating, under penalty of perjury, that it is true and correct.** Only the filer has authority to sign the statement. An unsigned statement is not considered filed and you may be subject to late filing penalties.

FPPC Form 700 (2015/2016)

FPPC Advice Email: [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)

FPPC Toll-Free Helpline: 866/275-3772 [www.fppc.ca.gov](http://www.fppc.ca.gov)

Instructions – 1

**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, 2015, through December 31, 2015.  
-or- The period covered is / / , through December 31, 2015.  
☐ **Assuming Office:** Date assumed / /  
☐ **Leaving Office:** Date Left / / (Check one)  
○ The period covered is January 1, 2015, 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 Signature  
(month, day, year) (File the originally signed statement with your filing official.)



## Which Schedule Do I Use?

---

### Common Reportable Interests

Schedule A-1	Stocks, including those held in an IRA or a 401K
Schedule A-2	Business entities (including certain independent contracting), sole proprietorships, partnerships, LLCs, corporations, and trusts
Schedule B	Rental property in the jurisdiction
Schedule C	Non-governmental salaries of public official and spouse/registered domestic partner
Schedule D	Gifts from businesses (such as tickets to sporting or entertainment events)
Schedule E	Travel payments from third parties (not your employer)

### Common Non-Reportable Interests

Schedule A-1	Insurance policies, government bonds, diversified mutual funds, certain funds similar to diversified mutual funds (such as exchange traded funds) and investments held in certain retirement accounts. See Reference Pamphlet, page 13, for detailed information. (Regulation 18237)
Schedule A-2	Savings and checking accounts and annuities
Schedule B	A residence used exclusively as a personal residence (such as a home or vacation cabin)
Schedule C	Governmental salary (such as a school district)
Schedule D	Gifts from family members
Schedule E	Travel paid by your government agency

#### Remember:

- ✓ Mark the "No reportable interests" box on Part 4 of the Schedule Summary on the Cover Page if you determine you have nothing to disclose and file the Cover Page only. **Make sure you carefully read all instructions to ensure proper reporting.**
- ✓ The Form 700 is a public document.
- ✓ **Most individuals must consult their agency's conflict of interest code for reportable interests.**
- ✓ Most individuals file the Form 700 with their agencies.

## Questions and Answers

---

### General

- Q. What is the reporting period for disclosing interests on an assuming office statement or a candidate statement?
- A. On an assuming office statement, disclose all reportable investments, interests in real property, and business positions held on the date you assumed office. In addition, you must disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you assumed office.

On a candidate statement, disclose all reportable investments, interests in real property, and business positions held on the date you file your declaration of candidacy. You must also disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you file your declaration of candidacy.

- Q. I hold two other board positions in addition to my position with the county. Must I file three statements of economic interests?
- A. Yes, three are required. However, you may complete one statement listing the county and the two boards on the Cover Page or an attachment as the agencies for which you will be filing. Report your economic interests using the largest jurisdiction and highest disclosure requirements assigned to you by the three agencies. Make two copies of the entire statement before signing it, sign each copy with an original signature, and distribute one original to the county and to each of the two boards. Remember to complete separate statements for positions that you leave or assume during the year.
- Q. I am a department head who recently began acting as city manager. Should I file as the city manager?
- A. Yes. File an assuming office statement as city manager. Persons serving as “acting,” “interim,” or “alternate” must file as if they hold the position because they are or may be performing the duties of the position.
- Q. As a designated employee, I left one state agency to work for another state agency. Must I file a leaving office statement?
- A. Yes. You may also need to file an assuming office statement for the new agency.

- Q. My spouse and I are currently separated and in the process of obtaining a divorce. Must I still report my spouse’s income, investments, and interests in real property?
- A. Yes. A public official must continue to report a spouse’s economic interests until such time as dissolution of marriage proceedings is final. However, if a separate property agreement has been reached prior to that time, your estranged spouse’s income may not have to be reported. Contact the FPPC for more information.

### Investment Disclosure

- Q. I have an investment interest in shares of stock in a company that does not have an office in my jurisdiction. Must I still disclose my investment interest in this company?
- A. Probably. The definition of “doing business in the jurisdiction” is not limited to whether the business has an office or physical location in your jurisdiction. See Reference Pamphlet, page 13.
- Q. My spouse and I have a living trust. The trust holds rental property in my jurisdiction, our primary residence, and investments in diversified mutual funds. I have full disclosure. How is this trust disclosed?
- A. Disclose the name of the trust, the rental property and its income on Schedule A-2. Your primary residence and investments in diversified mutual funds registered with the SEC are not reportable.
- Q. I am required to report all investments. I have an IRA that contains stocks through an account managed by a brokerage firm. Must I disclose these stocks even though they are held in an IRA and I did not decide which stocks to purchase?
- A. Yes. Disclose on Schedule A-1 or A-2 any stock worth \$2,000 or more in a business entity located in or doing business in your jurisdiction.

## Questions and Answers

### Continued

- Q. I am the sole owner of my business, an S-Corporation. I believe that the nature of the business is such that it cannot be said to have any "fair market value" because it has no assets. I operate the corporation under an agreement with a large insurance company. My contract does not have resale value because of its nature as a personal services contract. Must I report the fair market value for my business on Schedule A-2 of the Form 700?
- A. Yes. Even if there are no *tangible* assets, intangible assets, such as relationships with companies and clients are commonly sold to qualified professionals. The "fair market value" is often quantified for other purposes, such as marital dissolutions or estate planning. In addition, the IRS presumes that "personal services corporations" have a fair market value. A professional "book of business" and the associated goodwill that generates income are not without a determinable value. The Form 700 does not require a precise fair market value; it is only necessary to check a box indicating the broad range within which the value falls.
- Q. I own stock in IBM and must report this investment on Schedule A-1. I initially purchased this stock in the early 1990s; however, I am constantly buying and selling shares. Must I note these dates in the "Acquired" and "Disposed" fields?
- A. No. You must only report dates in the "Acquired" or "Disposed" fields when, during the reporting period, you initially purchase a reportable investment worth \$2,000 or more or when you dispose of the entire investment. You are not required to track the partial trading of an investment.
- Q. On last year's filing I reported stock in Encoe valued at \$2,000 - \$10,000. Late last year the value of this stock fell below and remains at less than \$2,000. How should this be reported on this year's statement?
- A. You are not required to report an investment if the value was less than \$2,000 during the **entire** reporting period. However, because a disposed date is not required for stocks that fall below \$2,000, you may want to report the stock and note in the "comments" section that the value fell below \$2,000. This would be for informational purposes only; it is not a requirement.

- Q. We have a Section 529 account set up to save money for our son's college education. Is this reportable?
- A. If the Section 529 account contains reportable interests (e.g., common stock valued at \$2,000 or more), those interests are reportable (not the actual Section 529 account). If the account contains solely mutual funds, then nothing is reported.

### Income Disclosure

- Q. I reported a business entity on Schedule A-2. Clients of my business are located in several states. Must I report all clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2, Part 3?
- A. No, only the clients located in or doing business on a regular basis in your jurisdiction must be disclosed.
- Q. I believe I am not required to disclose the names of clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2 because of their right to privacy. Is there an exception for reporting clients' names?
- A. Regulation 18740 provides a procedure for requesting an exemption to allow a client's name not to be disclosed if disclosure of the name would violate a legally recognized privilege under California or Federal law. This regulation may be obtained from our website at [www.fppc.ca.gov](http://www.fppc.ca.gov). See Reference Pamphlet, page 14.
- Q. I am sole owner of a private law practice that is not reportable based on my limited disclosure category. However, some of the sources of income to my law practice are from reportable sources. Do I have to disclose this income?
- A. Yes, even though the law practice is not reportable, reportable sources of income to the law practice of \$10,000 or more must be disclosed. This information would be disclosed on Schedule C with a note in the "comments" section indicating that the business entity is not a reportable investment. The note would be for informational purposes only; it is not a requirement.



## Questions and Answers Continued

---

Q. I am the sole owner of my business. Where do I disclose my income - on Schedule A-2 or Schedule C?

A. Sources of income to a business in which you have an ownership interest of 10% or greater are disclosed on Schedule A-2. See Reference Pamphlet, page 8, for the definition of "business entity."

Q. My husband is a partner in a four-person firm where all of his business is based on his own billings and collections from various clients. How do I report my community property interest in this business and the income generated in this manner?

A. If your husband's investment in the firm is 10% or greater, disclose 100% of his share of the business on Schedule A-2, Part 1 and 50% of his income on Schedule A-2, Parts 2 and 3. For example, a client of your husband's must be a source of at least \$20,000 during the reporting period before the client's name is reported.

Q. How do I disclose my spouse's or registered domestic partner's salary?

A. Report the name of the employer as a source of income on Schedule C.

Q. I am a doctor. For purposes of reporting \$10,000 sources of income on Schedule A-2, Part 3, are the patients or their insurance carriers considered sources of income?

A. If your patients exercise sufficient control by selecting you instead of other doctors, then your patients, rather than their insurance carriers, are sources of income to you. See Reference Pamphlet, page 14, for additional information.

Q. I received a loan from my grandfather to purchase my home. Is this loan reportable?

A. No. Loans received from family members are not reportable.

Q. Many years ago, I loaned my parents several thousand dollars, which they paid back this year. Do I need to report this loan repayment on my Form 700?

A. No. Payments received on a loan made to a family member are not reportable.

### Real Property Disclosure

Q. During this reporting period we switched our principal place of residence into a rental. I have full disclosure and the property is located in my agency's jurisdiction, so it is now reportable. Because I have not reported this property before, do I need to show an "acquired" date?

A. No, you are not required to show an "acquired" date because you previously owned the property. However, you may want to note in the "comments" section that the property was not previously reported because it was used exclusively as your residence. This would be for informational purposes only; it is not a requirement.

Q. My daughter is buying her first home and I am the co-signer on the loan. I won't occupy the home, but my daughter will. The home is located in my agency's jurisdiction. Must I report this property?

A. No. Property occupied by a family member is not reportable as long as you are not receiving rental income or using the property for business purposes.

### Gift Disclosure

Q. If I received a reportable gift of two tickets to a concert valued at \$100 each, but gave the tickets to a friend because I could not attend the concert, do I have any reporting obligations?

A. Yes. Since you accepted the gift and exercised discretion and control of the use of the tickets, you must disclose the gift on Schedule D.

Q. Mary and Joe Benson, a married couple, want to give a piece of artwork to a county supervisor. Is each spouse considered a separate source for purposes of the gift limit and disclosure?

A. Yes, each spouse may make a gift valued at the gift limit during a calendar year. For example, during 2015 the gift limit was \$460, so the Bensons may have given the supervisor artwork valued at no more than \$920. The supervisor must identify Joe and Mary Benson as the sources of the gift.

## Questions and Answers Continued

---

Q. I am a Form 700 filer with full disclosure. Our agency holds a holiday raffle to raise funds for a local charity. I bought \$10 worth of raffle tickets and won a gift basket valued at \$120. The gift basket was donated by Doug Brewer, a citizen in our city. At the same event, I bought raffle tickets for, and won a quilt valued at \$70. The quilt was donated by a coworker. Are these reportable gifts?

A. Because the gift basket was donated by an outside source (not an agency employee), you have received a reportable gift valued at \$110 (the value of the basket less the consideration paid). The source of the gift is Doug Brewer and the agency is disclosed as the intermediary. Because the quilt was donated by an employee of your agency, it is not a reportable gift.

Q. My agency is responsible for disbursing grants. An applicant (501(c)(3) organization) met with agency employees to present its application. At this meeting, the applicant provided food and beverages. Would the food and beverages be considered gifts to the employees? These employees are designated in our agency's conflict of interest code and the applicant is a reportable source of income under the code.

A. Yes. If the value of the food and beverages consumed by any one filer, plus any other gifts received from the same source during the reporting period total \$50 or more, the food and beverages would be reported using the fair market value and would be subject to the gift limit.

Q. I received free admission to an educational conference related to my official duties. Part of the conference fees included a round of golf. Is the value of the golf considered informational material?

A. No. The value of personal benefits, such as golf, attendance at a concert, or sporting event, are gifts subject to reporting and limits.

## Instructions – Schedules A-1 and A-2 Investments

“Investment” means a financial interest in any business entity (including a consulting business or other independent contracting business) that is located in, doing business in, planning to do business in, or that has done business during the previous two years in your agency’s jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more at any time during the reporting period. See Reference Pamphlet, page 13.

### Reportable investments include:

- Stocks, bonds, warrants, and options, including those held in margin or brokerage accounts and managed investment funds (See Reference Pamphlet, page 13.)
- Sole proprietorships
- Your own business or your spouse’s or registered domestic partner’s business (See Reference Pamphlet, page 8, for the definition of “business entity.”)
- Your spouse’s or registered domestic partner’s investments even if they are legally separate property
- Partnerships (e.g., a law firm or family farm)
- Investments in reportable business entities held in a retirement account (See Reference Pamphlet, page 15.)
- If you, your spouse or registered domestic partner, and dependent children together had a 10% or greater ownership interest in a business entity or trust (including a living trust), you must disclose investments held by the business entity or trust. See Reference Pamphlet, page 15, for more information on disclosing trusts.
- Business trusts

### You are not required to disclose:

- Insurance policies, government bonds, diversified mutual funds, certain funds similar to diversified mutual funds (such as exchange traded funds) and investments held in certain retirement accounts. See Reference Pamphlet, page 13, for detailed information. (Regulation 18237)
- Bank accounts, savings accounts, money market accounts and certificates of deposits
- Insurance policies
- Annuities
- Commodities
- Shares in a credit union
- Government bonds (including municipal bonds)
- Retirement accounts invested in non-reportable interests (e.g., insurance policies, mutual funds, or government bonds) (See Reference Pamphlet, page 15.)

- Government defined-benefit pension plans (such as CalPERS and CalSTRS plans)
- Certain interests held in a blind trust (See Reference Pamphlet, page 16.)

**Use Schedule A-1** to report ownership of less than 10% (e.g., stock). Schedule C (Income) may also be required if the investment is not a stock or corporate bond. See second example below.

**Use Schedule A-2** to report ownership of 10% or greater (e.g., a sole proprietorship).

### To Complete Schedule A-1:

Do not attach brokerage or financial statements.

- Disclose the name of the business entity.
- Provide a general description of the business activity of the entity (e.g., pharmaceuticals, computers, automobile manufacturing, or communications).
- Check the box indicating the highest fair market value of your investment during the reporting period. If you are filing a candidate or an assuming office statement, indicate the fair market value on the filing date or the date you took office, respectively.
- Identify the nature of your investment (e.g., stocks, warrants, options, or bonds).
- An acquired or disposed of date is only required if you initially acquired or entirely disposed of the investment interest during the reporting period. The date of a stock dividend reinvestment or partial disposal is not required. Generally, these dates will not apply if you are filing a candidate or an assuming office statement.

### Examples:

John Smith holds a state agency position. His conflict of interest code requires full disclosure of investments. John must disclose his stock holdings of \$2,000 or more in any company that is located in or does business in California, as well as those stocks held by his spouse or registered domestic partner and dependent children.

Susan Jones is a city council member. She has a 4% interest, worth \$5,000, in a limited partnership located in the city. Susan must disclose the partnership on Schedule A-1 and income of \$500 or more received from the partnership on Schedule C.

### Reminders

- Do you know your agency’s jurisdiction?
- Did you hold investments at any time during the period covered by this statement?
- Code filers – your disclosure categories may only require disclosure of specific investments.

FPPC Form 700 (2015/2016)

FPPC Advice Email: [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)

FPPC Toll-Free Helpline: 866/275-3772 [www.fppc.ca.gov](http://www.fppc.ca.gov)

Instructions – 8



**SCHEDULE A-1****Investments****Stocks, Bonds, and Other Interests**

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

**CALIFORNIA FORM 700**

FAIR POLITICAL PRACTICES COMMISSION

Name \_\_\_\_\_

## ▶ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF THIS BUSINESS \_\_\_\_\_

## FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

## NATURE OF INVESTMENT

- ☐ Stock      ☐ Other \_\_\_\_\_ (Describe)  
☐ Partnership      ☐ Income Received of \$0 - \$499  
                                 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/15      \_\_\_\_/\_\_\_\_/15  
ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF THIS BUSINESS \_\_\_\_\_

## FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

## NATURE OF INVESTMENT

- ☐ Stock      ☐ Other \_\_\_\_\_ (Describe)  
☐ Partnership      ☐ Income Received of \$0 - \$499  
                                 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/15      \_\_\_\_/\_\_\_\_/15  
ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF THIS BUSINESS \_\_\_\_\_

## FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

## NATURE OF INVESTMENT

- ☐ Stock      ☐ Other \_\_\_\_\_ (Describe)  
☐ Partnership      ☐ Income Received of \$0 - \$499  
                                 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/15      \_\_\_\_/\_\_\_\_/15  
ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF THIS BUSINESS \_\_\_\_\_

## FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

## NATURE OF INVESTMENT

- ☐ Stock      ☐ Other \_\_\_\_\_ (Describe)  
☐ Partnership      ☐ Income Received of \$0 - \$499  
                                 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/15      \_\_\_\_/\_\_\_\_/15  
ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF THIS BUSINESS \_\_\_\_\_

## FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

## NATURE OF INVESTMENT

- ☐ Stock      ☐ Other \_\_\_\_\_ (Describe)  
☐ Partnership      ☐ Income Received of \$0 - \$499  
                                 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/15      \_\_\_\_/\_\_\_\_/15  
ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY \_\_\_\_\_

GENERAL DESCRIPTION OF THIS BUSINESS \_\_\_\_\_

## FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000      ☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000      ☐ Over \$1,000,000

## NATURE OF INVESTMENT

- ☐ Stock      ☐ Other \_\_\_\_\_ (Describe)  
☐ Partnership      ☐ Income Received of \$0 - \$499  
                                 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/15      \_\_\_\_/\_\_\_\_/15  
ACQUIRED      DISPOSED

Comments: \_\_\_\_\_

## Instructions – Schedule A-2

### Investments, Income, and Assets of Business Entities/Trusts

---

Use Schedule A-2 to report investments in a business entity (including a consulting business or other independent contracting business) or trust (including a living trust) in which you, your spouse or registered domestic partner, and your dependent children, together or separately, had a 10% or greater interest, totaling \$2,000 or more, during the reporting period and which is located in, doing business in, planning to do business in, or which has done business during the previous two years in your agency's jurisdiction. See Reference Pamphlet, page 13. A trust located outside your agency's jurisdiction is reportable if it holds assets that are located in or doing business in the jurisdiction. Do not report a trust that contains non-reportable interests. For example, a trust containing only your personal residence not used in whole or in part as a business, your savings account, and some municipal bonds, is not reportable.

Also report on Schedule A-2 investments and real property held by that entity or trust if your pro rata share of the investment or real property interest was \$2,000 or more during the reporting period.

#### To Complete Schedule A-2:

**Part 1.** Disclose the name and address of the business entity or trust. If you are reporting an interest in a business entity, check "Business Entity" and complete the box as follows:

- Provide a general description of the business activity of the entity.
- Check the box indicating the highest fair market value of your investment during the reporting period.
- If you initially acquired or entirely disposed of this interest during the reporting period, enter the date acquired or disposed.
- Identify the nature of your investment.
- Disclose the job title or business position you held with the entity, if any (i.e., if you were a director, officer, partner, trustee, employee, or held any position of management). A business position held by your spouse is not reportable.

**Part 2.** Check the box indicating **your pro rata** share of the **gross** income received **by** the business entity or trust. This amount includes your pro rata share of the **gross** income **from** the business entity or trust, as well as your community property interest in your spouse's or registered domestic partner's share. Gross income is the total amount of income before deducting expenses, losses, or taxes.

**Part 3.** Disclose the name of each source of income that is located in, doing business in, planning to do business in, or that has done business during the previous two years in your agency's jurisdiction, as follows:

- Disclose each source of income and outstanding loan **to the business entity or trust** identified in Part 1 if your pro rata share of the **gross** income (including your community property interest in your spouse's or registered domestic partner's share) to the business entity or trust from that source was \$10,000 or more during the reporting

period. See Reference Pamphlet, page 11, for examples. Income from governmental sources may be reportable if not considered salary. See Regulation 18232. 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 are not reportable.

- Disclose each individual or entity that was a source of commission income of \$10,000 or more during the reporting period through the business entity identified in Part 1. See Reference Pamphlet, page 8, for an explanation of commission income.

You may be required to disclose sources of income located outside your jurisdiction. For example, you may have a client who resides outside your jurisdiction who does business on a regular basis with you. Such a client, if a reportable source of \$10,000 or more, must be disclosed.

Mark "None" if you do not have any reportable \$10,000 sources of income to disclose. Using phrases such as "various clients" or "not disclosing sources pursuant to attorney-client privilege" may trigger a request for an amendment to your statement. See Reference Pamphlet, page 14, for details about requesting an exemption from disclosing privileged information.

**Part 4.** Report any investments or interests in real property held or leased **by the entity or trust** identified in Part 1 if your pro rata share of the interest held was \$2,000 or more during the reporting period. Attach additional schedules or use FPPC's Form 700 Excel spreadsheet if needed.

- Check the applicable box identifying the interest held as real property or an investment.
- If investment, provide the name and description of the business entity.
- If real property, report the precise location (e.g., an assessor's parcel number or address).
- Check the box indicating the highest fair market value of your interest in the real property or investment during the reporting period. (Report the fair market value of the portion of your residence claimed as a tax deduction if you are utilizing your residence for business purposes.)
- Identify the nature of your interest.
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property or investment during the reporting period.

**SCHEDULE A-2**  
**Investments, Income, and Assets**  
**of Business Entities/Trusts**  
(Ownership Interest is 10% or Greater)

<b>CALIFORNIA FORM 700</b>
FAIR POLITICAL PRACTICES COMMISSION
Name _____

**▶ 1. BUSINESS ENTITY OR TRUST**

Name \_\_\_\_\_

Address (Business Address Acceptable) \_\_\_\_\_

Check one

☐ Trust, go to 2      ☐ Business Entity, complete the box, then go to 2

**GENERAL DESCRIPTION OF THIS BUSINESS**

FAIR MARKET VALUE

- ☐ \$0 - \$1,999  
☐ \$2,000 - \$10,000  
☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000  
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/15      \_\_\_\_/\_\_\_\_/15  
ACQUIRED      DISPOSED

NATURE OF INVESTMENT

☐ Partnership    ☐ Sole Proprietorship    ☐ \_\_\_\_\_ Other

YOUR BUSINESS POSITION \_\_\_\_\_

**▶ 1. BUSINESS ENTITY OR TRUST**

Name \_\_\_\_\_

Address (Business Address Acceptable) \_\_\_\_\_

Check one

☐ Trust, go to 2      ☐ Business Entity, complete the box, then go to 2

**GENERAL DESCRIPTION OF THIS BUSINESS**

FAIR MARKET VALUE

- ☐ \$0 - \$1,999  
☐ \$2,000 - \$10,000  
☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000  
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/15      \_\_\_\_/\_\_\_\_/15  
ACQUIRED      DISPOSED

NATURE OF INVESTMENT

☐ Partnership    ☐ Sole Proprietorship    ☐ \_\_\_\_\_ Other

YOUR BUSINESS POSITION \_\_\_\_\_

**▶ 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)**

- ☐ \$0 - \$499      ☐ \$10,001 - \$100,000  
☐ \$500 - \$1,000      ☐ OVER \$100,000  
☐ \$1,001 - \$10,000

**▶ 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)**

- ☐ \$0 - \$499      ☐ \$10,001 - \$100,000  
☐ \$500 - \$1,000      ☐ OVER \$100,000  
☐ \$1,001 - \$10,000

**▶ 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (Attach a separate sheet if necessary.)**

☐ None    or    ☐ Names listed below

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**▶ 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (Attach a separate sheet if necessary.)**

☐ None    or    ☐ Names listed below

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**▶ 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST**

Check one box:

☐ INVESTMENT      ☐ 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

- ☐ \$2,000 - \$10,000  
☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000  
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/15      \_\_\_\_/\_\_\_\_/15  
ACQUIRED      DISPOSED

NATURE OF INTEREST

☐ Property Ownership/Deed of Trust    ☐ Stock    ☐ Partnership

☐ Leasehold \_\_\_\_\_  
Yrs. remaining

☐ Other \_\_\_\_\_

☐ Check box if additional schedules reporting investments or real property are attached

**▶ 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST**

Check one box:

☐ INVESTMENT      ☐ 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

- ☐ \$2,000 - \$10,000  
☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000  
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/15      \_\_\_\_/\_\_\_\_/15  
ACQUIRED      DISPOSED

NATURE OF INTEREST

☐ Property Ownership/Deed of Trust    ☐ Stock    ☐ Partnership

☐ Leasehold \_\_\_\_\_  
Yrs. remaining

☐ Other \_\_\_\_\_

☐ Check box if additional schedules reporting investments or real property are attached

Comments: \_\_\_\_\_



## Instructions – Schedule B

### Interests in Real Property

Report interests in real property located in your agency's jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more any time during the reporting period. See Reference Pamphlet, page 13.

#### Interests in real property include:

- An ownership interest (including a beneficial ownership interest)
- A deed of trust, easement, or option to acquire property
- A leasehold interest (See Reference Pamphlet, page 14.)
- A mining lease
- An interest in real property held in a retirement account (See Reference Pamphlet, page 15.)
- An interest in real property held by a business entity or trust in which you, your spouse or registered domestic partner, and your dependent children together had a 10% or greater ownership interest (Report on Schedule A-2.)
- Your spouse's or registered domestic partner's interests in real property that are legally held separately by him or her

#### You are not required to report:

- A residence, such as a home or vacation cabin, used exclusively as a personal residence (However, a residence in which you rent out a room or for which you claim a business deduction may be reportable. If reportable, report the fair market value of the portion claimed as a tax deduction.)

**Please note:** A non-reportable residence can still be grounds for a conflict of interest and may be disqualifying.

- Interests in real property held through a blind trust (See Reference Pamphlet, page 16, for exceptions.)

#### To Complete Schedule B:

- Report the precise location (e.g., an assessor's parcel number or address) of the real property.
- Check the box indicating the fair market value of your interest in the property (regardless of what you owe on the property).
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property during the reporting period.
- Identify the nature of your interest. If it is a leasehold, disclose the number of years remaining on the lease.
- If you received rental income, check the box indicating the gross amount you received.
- If you had a 10% or greater interest in real property and received rental income, list the name of the source(s) if your pro rata share of the gross income from any single

tenant was \$10,000 or more during the reporting period. If you received a total of \$10,000 or more from two or more tenants acting in concert (in most cases, this will apply to married couples), disclose the name of each tenant. Otherwise, mark "None."

- Loans from a private lender that total \$500 or more and are secured by real property may be reportable. **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 are not reportable.**

When reporting a loan:

- Provide the name and address of the lender.
- Describe the lender's business activity.
- Disclose the interest rate and term of the loan. For variable interest rate loans, disclose the conditions of the loan (e.g., Prime + 2) or the average interest rate paid during the reporting period. The term of a loan is the total number of months or years given for repayment of the loan at the time the loan was established.
- Check the box indicating the highest balance of the loan during the reporting period.
- Identify a guarantor, if applicable.

If you have more than one reportable loan on a single piece of real property, report the additional loan(s) on Schedule C.

#### Example:

Joe Nelson is a city planning commissioner. Joe received rental income of \$12,000 during the reporting period from a single tenant who rented property Joe owned in the city's jurisdiction. If Joe had received the \$12,000 from two or more tenants, the tenants' names would not be required as long as no single tenant paid \$10,000 or more. A married couple would be considered a single tenant.

ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS 4600 24th Street	
City Sacramento	
FAIR MARKET VALUE	IF APPLICABLE, LIST DATE: / / 15 / / 15 ACQUIRED DISPOSED
<input type="checkbox"/> \$2,000-\$10,000	
<input type="checkbox"/> \$10,001-\$100,000	
<input checked="" type="checkbox"/> \$100,001-\$1,000,000	
<input type="checkbox"/> Over \$1,000,000	
NATURE OF INTEREST <input checked="" type="checkbox"/> Ownership/Deed of Trust <input type="checkbox"/> Easement	
<input type="checkbox"/> Leasehold <input type="checkbox"/> Yes, remaining <input type="checkbox"/> Other	
IF RENTAL PROPERTY, GROSS INCOME RECEIVED <input type="checkbox"/> \$0 - \$499 <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000	
<input checked="" type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	
SOURCES OF RENTAL INCOME: 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 Henry Wells	
NAME OF LENDER Sophia Petrolillo	
ADDRESS (Business Address Acceptable) 2121 Blue Sky Parkway, Sacramento	
BUSINESS ACTIVITY, IF ANY, OF LENDER Restaurant Owner	
INTEREST RATE 8 % <input type="checkbox"/> NONE	TERM (Months/Years) 15 Years
HIGHEST BALANCE DURING REPORTING PERIOD <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000	
<input checked="" type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	
<input type="checkbox"/> Guarantor, if applicable	

#### Reminders

- Income and loans already reported on Schedule B are not also required to be reported on Schedule C.
- Real property already reported on Schedule A-2, Part 4 is not also required to be reported on Schedule B.
- Code filers – do your disclosure categories require disclosure of real property?

**SCHEDULE B**  
**Interests in Real Property**  
(Including Rental Income)

**CALIFORNIA FORM 700**

FAIR POLITICAL PRACTICES COMMISSION

Name \_\_\_\_\_

► ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS

CITY \_\_\_\_\_

FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000  
☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000  
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/15      \_\_\_\_/\_\_\_\_/15  
ACQUIRED      DISPOSED

NATURE OF INTEREST

- ☐ Ownership/Deed of Trust      ☐ Easement  
☐ Leasehold \_\_\_\_\_  
Yrs. remaining      ☐ \_\_\_\_\_  
Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

- ☐ \$0 - \$499      ☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☐ OVER \$100,000

SOURCES OF RENTAL INCOME: 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.

☐ None

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

► ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS

CITY \_\_\_\_\_

FAIR MARKET VALUE

- ☐ \$2,000 - \$10,000  
☐ \$10,001 - \$100,000  
☐ \$100,001 - \$1,000,000  
☐ Over \$1,000,000

IF APPLICABLE, LIST DATE:

\_\_\_\_/\_\_\_\_/15      \_\_\_\_/\_\_\_\_/15  
ACQUIRED      DISPOSED

NATURE OF INTEREST

- ☐ Ownership/Deed of Trust      ☐ Easement  
☐ Leasehold \_\_\_\_\_  
Yrs. remaining      ☐ \_\_\_\_\_  
Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

- ☐ \$0 - \$499      ☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☐ OVER \$100,000

SOURCES OF RENTAL INCOME: 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.

☐ None

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\* 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:

NAME OF LENDER\*

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF LENDER

INTEREST RATE

TERM (Months/Years)

\_\_\_\_\_%      ☐ None

HIGHEST BALANCE DURING REPORTING PERIOD

- ☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☐ OVER \$100,000  
☐ Guarantor, if applicable

NAME OF LENDER\*

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF LENDER

INTEREST RATE

TERM (Months/Years)

\_\_\_\_\_%      ☐ None

HIGHEST BALANCE DURING REPORTING PERIOD

- ☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☐ OVER \$100,000  
☐ Guarantor, if applicable

Comments: \_\_\_\_\_

# Instructions – Schedule C

## Income, Loans, & Business Positions

### (Income Other Than Gifts and Travel Payments)

#### Reporting Income:

Report the source and amount of gross income of \$500 or more you received during the reporting period. Gross income is the total amount of income before deducting expenses, losses, or taxes and includes loans other than loans from a commercial lending institution. See Reference Pamphlet, page 11. You must also report the source of income to your spouse or registered domestic partner if your community property share was \$500 or more during the reporting period.

A source of income must be reported only if the source is located in, doing business in, planning to do business in, or has done business during the previous two years in your agency's jurisdiction. See Reference Pamphlet, page 13, for more information about doing business in the jurisdiction. Reportable sources of income may be further limited by your disclosure category located in your agency's conflict of interest code.

#### Reporting Business Positions:

You must report your job title with each reportable business entity even if you received no income during the reporting period. Use the comments section to indicate that no income was received.

#### Commonly reportable income and loans include:

- Salary/wages, per diem, and reimbursement for expenses including travel payments provided by your employer
- Community property interest (50%) in your spouse's or registered domestic partner's income - **report the employer's name and all other required information**
- Income from investment interests, such as partnerships, reported on Schedule A-1
- Commission income not required to be reported on Schedule A-2 (See Reference Pamphlet, page 8.)
- Gross income from any sale, including the sale of a house or car (Report your pro rata share of the total sale price.)
- Rental income not required to be reported on Schedule B
- Prizes or awards not disclosed as gifts
- Payments received on loans you made to others
- An honorarium received prior to becoming a public official (See Reference Pamphlet, page 10, concerning your ability to receive future honoraria.)
- Incentive compensation (See Reference Pamphlet, page 12.)

#### Reminders

- Code filers – your disclosure categories may not require disclosure of all sources of income.
- If you or your spouse or registered domestic partner are self-employed, report the business entity on Schedule A-2.
- Do not disclose on Schedule C income, loans, or business positions already reported on Schedules A-2 or B.

#### You are not required to report:

- Salary, reimbursement for expenses or per diem, or social security, disability, or other similar benefit payments received by you or your spouse or registered domestic partner from a federal, state, or local government agency.
- Stock dividends and income from the sale of stock unless the source can be identified.
- Income from a PERS retirement account.

**See Reference Pamphlet, page 11, for more exceptions to income reporting.**

#### To Complete Schedule C:

##### Part 1. Income Received/Business Position Disclosure

- Disclose the name and address of each source of income or each business entity with which you held a business position.
- Provide a general description of the business activity if the source is a business entity.
- Check the box indicating the amount of gross income received.
- Identify the consideration for which the income was received.
- For income from commission sales, check the box indicating the gross income received and list the name of each source of commission income of \$10,000 or more. See Reference Pamphlet, page 8. **Note: If you receive commission income on a regular basis or have an ownership interest of 10% or more, you must disclose the business entity and the income on Schedule A-2.**
- Disclose the job title or business position, if any, that you held with the business entity, even if you did not receive income during the reporting period.

##### Part 2. Loans Received or Outstanding During the Reporting Period

- Provide the name and address of the lender.
- Provide a general description of the business activity if the lender is a business entity.
- Check the box indicating the highest balance of the loan during the reporting period.
- Disclose the interest rate and the term of the loan.
  - For variable interest rate loans, disclose the conditions of the loan (e.g., Prime + 2) or the average interest rate paid during the reporting period.
  - The term of the loan is the total number of months or years given for repayment of the loan at the time the loan was entered into.
- Identify the security, if any, for the loan.



**SCHEDULE C**  
**Income, Loans, & Business**  
**Positions**  
(Other than Gifts and Travel Payments)

<b>CALIFORNIA FORM 700</b> FAIR POLITICAL PRACTICES COMMISSION
Name _____

▶ 1. INCOME RECEIVED	▶ 1. INCOME RECEIVED
NAME OF SOURCE OF INCOME _____ ADDRESS (Business Address Acceptable) _____ BUSINESS ACTIVITY, IF ANY, OF SOURCE _____ YOUR BUSINESS POSITION _____	NAME OF SOURCE OF INCOME _____ ADDRESS (Business Address Acceptable) _____ BUSINESS ACTIVITY, IF ANY, OF SOURCE _____ YOUR BUSINESS POSITION _____
GROSS INCOME RECEIVED <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	GROSS INCOME RECEIVED <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
CONSIDERATION FOR WHICH INCOME WAS RECEIVED <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)	CONSIDERATION FOR WHICH INCOME WAS RECEIVED <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)

▶ 2. LOANS RECEIVED OR OUTSTANDING DURING THE REPORTING PERIOD

\* 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:

NAME OF LENDER* _____ ADDRESS (Business Address Acceptable) _____ BUSINESS ACTIVITY, IF ANY, OF LENDER _____ HIGHEST BALANCE DURING REPORTING PERIOD <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	INTEREST RATE _____% <input type="checkbox"/> None  SECURITY FOR LOAN <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)
---	--

Comments: \_\_\_\_\_

## Instructions – Schedule D

### Income – Gifts

A gift is anything of value for which you have not provided equal or greater consideration to the donor. A gift is reportable if its fair market value is \$50 or more. In addition, multiple gifts totaling \$50 or more received during the reporting period from a single source must be reported.

It is the acceptance of a gift, not the ultimate use to which it is put, that imposes your reporting obligation. Except as noted below, you must report a gift even if you never used it or if you gave it away to another person.

If the exact amount of a gift is unknown, you must make a good faith estimate of the item's fair market value. Listing the value of a gift as "over \$50" or "value unknown" is not adequate disclosure. In addition, if you received a gift through an intermediary, you must disclose the name, address, and business activity of both the donor and the intermediary. You may indicate an intermediary either in the "source" field after the name or in the "comments" section at the bottom of Schedule D.

#### Commonly reportable gifts include:

- Tickets/passes to sporting or entertainment events
- Tickets/passes to amusement parks
- Parking passes not used for official agency business
- Food, beverages, and accommodations, including those provided in direct connection with your attendance at a convention, conference, meeting, social event, meal, or like gathering
- Rebates/discounts not made in the regular course of business to members of the public without regard to official status
- Wedding gifts (See Reference Pamphlet, page 16)
- An honorarium received prior to assuming office (You may report an honorarium as income on Schedule C, rather than as a gift on Schedule D, if you provided services of equal or greater value than the payment received. See Reference Pamphlet, page 10, regarding your ability to receive future honoraria.)
- Transportation and lodging (See Schedule E.)
- Forgiveness of a loan received by you

#### You are not required to disclose:

- Gifts that were not used and that, within 30 days after receipt, were returned to the donor or delivered to a charitable organization or government agency without

being claimed by you as a charitable contribution for tax purposes

- Gifts from your spouse or registered domestic partner, child, parent, grandparent, grandchild, brother, sister, and certain other family members (See Regulation 18942 for a complete list.). The exception does not apply if the donor was acting as an agent or intermediary for a reportable source who was the true donor.
- Gifts of similar value exchanged between you and an individual, other than a lobbyist registered to lobby your state agency, on holidays, birthdays, or similar occasions
- Gifts of informational material provided to assist you in the performance of your official duties (e.g., books, pamphlets, reports, calendars, periodicals, or educational seminars)
- A monetary bequest or inheritance (However, inherited investments or real property may be reportable on other schedules.)
- Personalized plaques or trophies with an individual value of less than \$250
- Campaign contributions
- Up to two tickets, for your own use, to attend a fundraiser for a campaign committee or candidate, or to a fundraiser for an organization exempt from taxation under Section 501(c)(3) of the Internal Revenue Code. The ticket must be received from the organization or committee holding the fundraiser.
- Gifts given to members of your immediate family if the source has an established relationship with the family member and there is no evidence to suggest the donor had a purpose to influence you. (See Regulation 18943.)
- Free admission, food, and nominal items (such as a pen, pencil, mouse pad, note pad or similar item) available to all attendees, at the event at which the official makes a speech (as defined in Regulation 18950(b)(2)), so long as the admission is provided by the person who organizes the event.
- Any other payment not identified above, that would otherwise meet the definition of gift, where the payment is made by an individual who is not a lobbyist registered to lobby the official's state agency, where it is clear that the gift was made because of an existing personal or business relationship unrelated to the official's position and there is no evidence whatsoever at the time the gift is made to suggest the donor had a purpose to influence you.

#### To Complete Schedule D:

- Disclose the full name (not an acronym), address, and, if a business entity, the business activity of the source.
- Provide the date (month, day, and year) of receipt, and disclose the fair market value and description of the gift.

#### Reminders

- Gifts from a single source are subject to a \$460 limit. See Reference Pamphlet, page 10.
- Code filers – you only need to report gifts from reportable sources.

#### Gift Tracking Mobile Application

- FPPC has created a gift tracking app for mobile devices that helps filers track gifts and provides a quick and easy way to upload the information to the Form 700. Visit FPPC's website to download the app.

# SCHEDULE D

## Income – Gifts

<b>CALIFORNIA FORM</b>	<b>700</b>
FAIR POLITICAL PRACTICES COMMISSION	
Name _____	

<p>► NAME OF SOURCE <i>(Not an Acronym)</i></p> <p>_____</p> <p>ADDRESS <i>(Business Address Acceptable)</i></p> <p>_____</p> <p>BUSINESS ACTIVITY, IF ANY, OF SOURCE</p> <p>_____</p> <table><tr><th>DATE (mm/dd/yy)</th><th>VALUE</th><th>DESCRIPTION OF GIFT(S)</th></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr></table>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____	<p>► NAME OF SOURCE <i>(Not an Acronym)</i></p> <p>_____</p> <p>ADDRESS <i>(Business Address Acceptable)</i></p> <p>_____</p> <p>BUSINESS ACTIVITY, IF ANY, OF SOURCE</p> <p>_____</p> <table><tr><th>DATE (mm/dd/yy)</th><th>VALUE</th><th>DESCRIPTION OF GIFT(S)</th></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr></table>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)																							
____/____/____	\$ _____	_____																							
____/____/____	\$ _____	_____																							
____/____/____	\$ _____	_____																							
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)																							
____/____/____	\$ _____	_____																							
____/____/____	\$ _____	_____																							
____/____/____	\$ _____	_____																							
<p>► NAME OF SOURCE <i>(Not an Acronym)</i></p> <p>_____</p> <p>ADDRESS <i>(Business Address Acceptable)</i></p> <p>_____</p> <p>BUSINESS ACTIVITY, IF ANY, OF SOURCE</p> <p>_____</p> <table><tr><th>DATE (mm/dd/yy)</th><th>VALUE</th><th>DESCRIPTION OF GIFT(S)</th></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr></table>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____	<p>► NAME OF SOURCE <i>(Not an Acronym)</i></p> <p>_____</p> <p>ADDRESS <i>(Business Address Acceptable)</i></p> <p>_____</p> <p>BUSINESS ACTIVITY, IF ANY, OF SOURCE</p> <p>_____</p> <table><tr><th>DATE (mm/dd/yy)</th><th>VALUE</th><th>DESCRIPTION OF GIFT(S)</th></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr></table>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)																							
____/____/____	\$ _____	_____																							
____/____/____	\$ _____	_____																							
____/____/____	\$ _____	_____																							
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)																							
____/____/____	\$ _____	_____																							
____/____/____	\$ _____	_____																							
____/____/____	\$ _____	_____																							
<p>► NAME OF SOURCE <i>(Not an Acronym)</i></p> <p>_____</p> <p>ADDRESS <i>(Business Address Acceptable)</i></p> <p>_____</p> <p>BUSINESS ACTIVITY, IF ANY, OF SOURCE</p> <p>_____</p> <table><tr><th>DATE (mm/dd/yy)</th><th>VALUE</th><th>DESCRIPTION OF GIFT(S)</th></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr></table>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____	<p>► NAME OF SOURCE <i>(Not an Acronym)</i></p> <p>_____</p> <p>ADDRESS <i>(Business Address Acceptable)</i></p> <p>_____</p> <p>BUSINESS ACTIVITY, IF ANY, OF SOURCE</p> <p>_____</p> <table><tr><th>DATE (mm/dd/yy)</th><th>VALUE</th><th>DESCRIPTION OF GIFT(S)</th></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr><tr><td>____/____/____</td><td>\$ _____</td><td>_____</td></tr></table>	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____	____/____/____	\$ _____	_____
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)																							
____/____/____	\$ _____	_____																							
____/____/____	\$ _____	_____																							
____/____/____	\$ _____	_____																							
DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)																							
____/____/____	\$ _____	_____																							
____/____/____	\$ _____	_____																							
____/____/____	\$ _____	_____																							

Comments: \_\_\_\_\_

\_\_\_\_\_



## Instructions – Schedule E Travel Payments, Advances, and Reimbursements

Travel payments reportable on Schedule E include advances and reimbursements for travel and related expenses, including lodging and meals.

Gifts of travel may be subject to the gift limit. In addition, certain travel payments are reportable gifts, but are not subject to the gift limit. To avoid possible misinterpretation or the perception that you have received a gift in excess of the gift limit, you may wish to provide a specific description of the purpose of your travel. See the FPPC fact sheet entitled "Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans" at [www.fppc.ca.gov](http://www.fppc.ca.gov).

### You are **not** required to disclose:

- Travel payments received from any state, local, or federal government agency for which you provided services equal or greater in value than the payments received, such as reimbursement for travel on agency business from your government agency employer.
- A payment for travel from another local, state, or federal government agency and related per diem expenses when the travel is for education, training or other inter-agency programs or purposes.
- Travel payments received from your employer in the normal course of your employment that are included in the income reported on Schedule C.
- A travel payment that was received from a non-profit entity exempt from taxation under Internal Revenue Code Section 501(c)(3) for which you provided equal or greater consideration, such as reimbursement for travel on business for a 501(c)(3) organization for which you are a board member.

**Note: Certain travel payments may not be reportable if reported on Form 801 by your agency.**

### To Complete Schedule E:

- Disclose the full name (not an acronym) and address of the source of the travel payment.
- Identify the business activity if the source is a business entity.
- Check the box to identify the payment as a gift or income, report the amount, and disclose the date(s).
  - **Travel payments are gifts** if you did not provide services that were equal to or greater in value than the payments received. You must disclose gifts totaling \$50 or more from a single source during the period covered by the statement.

When reporting travel payments that are gifts, you must provide a description of the gift and the **date(s)** received. If the travel occurred on or after January 1, 2016, you must also disclose the **travel destination**.

- **Travel payments are income** if you provided services that were equal to or greater in value than the payments received. You must disclose income totaling \$500 or more from a single source during the period covered by the statement. You have the burden of proving the payments are income rather than gifts. When reporting travel payments as income, you must describe the services you provided in exchange for the payment. You are not required to disclose the date(s) for travel payments that are income.

### Example:

City council member Rick Chandler is the chairman of a 501 (c)(6) trade association and the association pays for Rick's travel to attend its meetings. Because Rick is deemed to be providing equal or greater consideration for the travel payment by virtue of serving on the board, this payment may be reported as income. Payments for Rick to attend other events for which he is not providing services are likely considered gifts.

NAME OF SOURCE	
Health Services Trade Association	
ADDRESS (Business Address Acceptable)	
1230 K Street, Ste. 610	
CITY AND STATE	
Sacramento, CA	
BUSINESS ACTIVITY, IF ANY, OF SOURCE	<input type="checkbox"/> 501 (c)(3)
Association of Healthcare Workers	
DATE(S): ____/____/____ - ____/____/____	AMT: \$ 588.00
(If applicable)	
TYPE OF PAYMENT: (must check one) <input type="checkbox"/> Gift <input checked="" type="checkbox"/> Income	
DESCRIPTION: Travel reimbursement for board meeting	

**SCHEDULE E**  
**Income – Gifts**  
**Travel Payments, Advances,**  
**and Reimbursements**

<b>CALIFORNIA FORM 700</b> <b>FAIR POLITICAL PRACTICES COMMISSION</b>
Name _____

- Mark either the gift or income box.
- 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 \$460 gift limit, but may result in a disqualifying conflict of interest.
- For gifts of travel that occurred on or after January 1, 2016, provide the travel destination.

▶ NAME OF SOURCE (Not an Acronym) _____ ADDRESS (Business Address Acceptable) _____ CITY AND STATE _____ <input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____ DATE(S): ____/____/____ - ____/____/____ AMT: \$_____ (If gift) ▶ MUST CHECK ONE: <input type="checkbox"/> Gift <b>-or-</b> <input type="checkbox"/> Income <input type="radio"/> Made a Speech/Participated in a Panel <input type="radio"/> Other - Provide Description _____ _____ ▶ If Gift, Provide Travel Destination _____ _____
--

▶ NAME OF SOURCE (Not an Acronym) _____ ADDRESS (Business Address Acceptable) _____ CITY AND STATE _____ <input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____ DATE(S): ____/____/____ - ____/____/____ AMT: \$_____ (If gift) ▶ MUST CHECK ONE: <input type="checkbox"/> Gift <b>-or-</b> <input type="checkbox"/> Income <input type="radio"/> Made a Speech/Participated in a Panel <input type="radio"/> Other - Provide Description _____ _____ ▶ If Gift, Provide Travel Destination _____ _____
--

▶ NAME OF SOURCE (Not an Acronym) _____ ADDRESS (Business Address Acceptable) _____ CITY AND STATE _____ <input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____ DATE(S): ____/____/____ - ____/____/____ AMT: \$_____ (If gift) ▶ MUST CHECK ONE: <input type="checkbox"/> Gift <b>-or-</b> <input type="checkbox"/> Income <input type="radio"/> Made a Speech/Participated in a Panel <input type="radio"/> Other - Provide Description _____ _____ ▶ If Gift, Provide Travel Destination _____ _____
--

▶ NAME OF SOURCE (Not an Acronym) _____ ADDRESS (Business Address Acceptable) _____ CITY AND STATE _____ <input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____ DATE(S): ____/____/____ - ____/____/____ AMT: \$_____ (If gift) ▶ MUST CHECK ONE: <input type="checkbox"/> Gift <b>-or-</b> <input type="checkbox"/> Income <input type="radio"/> Made a Speech/Participated in a Panel <input type="radio"/> Other - Provide Description _____ _____ ▶ If Gift, Provide Travel Destination _____ _____
--

Comments: \_\_\_\_\_