

# Form 700 Filers Statements of Economic Interests **Completing the Form 700: Need to Know**



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PRESENTED BY  
**EXTERNAL AFFAIRS AND EDUCATION DIVISION**  
FAIR POLITICAL PRACTICES COMMISSION

# Fair Political Practices Commission (FPPC)

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In 1974, in the wake of the Watergate scandal, California voters passed Proposition 9, known today as the Political Reform Act, which regulates conflicts of interest, campaign finance, and lobbying activity.

The FPPC was created to implement and enforce the Act, and to inform and assist candidates and public officials in complying with these laws.

# What We'll Cover Today

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- What You Need
- What is the Form 700?
- Who Files the Form 700?
- Conflict of Interest Codes and the Form 700
- Deadlines and Exceptions
- Filing Officers
- Electronic Filing Systems
- Things to Keep in Mind
- Contact Information

# What You Need

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- Form 700
- Your Agency's Conflict of Interest Code

## Other Helpful Resources

- Form 700 FAQs
- Reference Pamphlet
- Gift and Travel Fact Sheet
- Gift Tracking App
- FPPC Advice (phone and e-mail)

www.fppc.ca.gov

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Fair Political Practices Commission

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**Engage**  
The FPPC promotes civic engagement by ensuring the fairness and integrity of California's political process.

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**Form 700**

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**Statements of Economic Interests - Form 700**

Every elected official and public employee who makes or influences governmental decisions is required to submit a Statement of Economic Interest, also known as the Form 700. The Form 700 provides transparency and ensures accountability in two ways:

1. It provides necessary information to the public about an official's personal financial interests to ensure that officials are making decisions in the best interest of the public and not enhancing their personal finances.
2. It serves as a reminder to the public official of potential conflicts of interest so the official can abstain from making or participating in governmental decisions that are deemed conflicts of interest.

**Filing a Form 700**

The FPPC is available to answer any questions you may have on Form 700 reporting or filing. However, in order to better assist you, you should obtain your "disclosure category." A disclosure category is a description of the types of financial interests you must disclose on your Form 700 based on your job classification or position. Each agency defines its own disclosure categories for each position based on the type and scope of work performed.

To obtain a copy of your disclosure category, check with a supervisor or other designated staff in your agency's legal or personnel department.

**Form 700**

- Form 700 (Use Through Dec. 31, 2017)
- Reference Pamphlet (Explains Reporting Requirements)
- Form 700 - Excel Format
- Form 700 FAQs

**Questions About Gifts & Travel?**

For guidelines about reporting Gifts, Honoraria, Travel, or Loans click the button below

Gifts & Travel Fact Sheet for State Officials  
Gifts & Travel Fact Sheet for Local Officials

**FPPC GIFT TRACKING APP**

- Easy to use
- Updated for 2016
- Exports directly to Form 700

Download FREE

**View Form 700 Filed by Public Officials**

Click the button below to search through Form 700s that have been filed by public officials.

Search Form 700s

**File Electronically**

If you are a filer whose statement is sent to FPPC and have received log on information from us to file electronically, click the button below.

Access Log On Page Here

**Are You A Filing Officer?**

If you have questions about the duties for filing officers, click the button below.

Filing Officer Guidance

# What is the Form 700?

- Completed by officials who make or participate in making governmental decisions
- Discloses financial interests of elected officials and public employees
- Public document that shows where conflicts of interest might occur
- Reminds officials of possible conflicts in daily work

## Statement of Economic Interests



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## 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  
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)

# Who Files the Form 700?

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- Designated Employees (or Code Filers)
- 87200 Filers
- Board Members, Alternates, Designees, and Ex-Officio Members
- Filers in some newly created positions
- Consultants
- Candidates

# Conflict of Interest Codes and the Form 700

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- State and local government agencies must adopt a conflict of interest code.
- The codes designates positions within the agency that make or participate in making governmental decisions.
- Individuals in these positions file Form 700.
- Disclosure responsibilities are assigned to each position based on the decision-making authority of that position.

# Example of Designated Positions and Disclosure Categories

| Designated Employees                                         | Disclosure Categories |
|--------------------------------------------------------------|-----------------------|
| <b>Administration Executive Offices</b>                      |                       |
| Director.....                                                | 1                     |
| Senior Chief Deputy Director.....                            | 1                     |
| Chief Deputy Director .....                                  | 1                     |
| Senior Advisor to the Director .....                         | 1                     |
| Deputy Director, Board/Bureau Support .....                  | 1                     |
| Deputy Director, Enforcement and Compliance .....            | 1                     |
| Deputy Director, Communications.....                         | 1                     |
| Deputy Director, External Affairs .....                      | 1                     |
| Chief, Licensing for Job Creation .....                      | 1                     |
| Information Officer (All Levels), Public Affairs Office..... | 2,5                   |
| Staff Services Manager (All Levels) .....                    | 6                     |
| Administrative Assistant (All Levels) .....                  | 5                     |
| <b>Program and Consumer Services Division</b>                |                       |
| Deputy Director .....                                        | 1                     |
| Chief, Consumer Information Center .....                     | 2,5                   |

## Disclosure Categories

### Category 1

Designated officials or employees assigned to this category must report:

All interests in real property, as well as investments, business positions and sources of income, including gifts, loans and travel payments.

### Category 2

Designated officials or employees assigned to this category must report:

All interests in real property and investments and business positions in, and any income, including gifts, loans and travel payments from, a business entity or individual where the business entity or individual's profession is regulated by or is of the type which qualifies for licensing or continuing education credit by any licensing agency within the Department of Consumer Affairs, or if, currently or within the previous four years, the Department of Consumer Affairs has taken any civil or administrative action against such entity, or has intervened in such action.

### Category 5

Designated officials or employees assigned to this category must report:

Investments and business positions in, and any income, including gifts, loans and travel payments from, a business entity if, within the previous two years, the entity is of the type which has contracted with the official's or employee's immediate employer (e.g., board, bureau, division or licensing agency, or, when applicable, the department) to provide goods or services.

### Category 6

Designated officials or employees assigned to this category must report:

Investments and business positions in, and any income, including gifts, loans and travel payments from, a business entity where the entity is engaged in the manufacturing, wholesaling, or retailing of any equipment or product required to be approved or meet standards set by the official's or employee's licensing agency.

# Deadlines for Annual Statements

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- Designated Filers: April 1<sup>st</sup>
- Most 87200 Filers: April 1<sup>st</sup>
- Elected state officers, judges, and court commissioners: March 1<sup>st</sup>

# Deadlines for Other Statements

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- **Assuming Office Statements:**  
Due within 30 days of starting your new job
- **Leaving Office Statements:**  
Due within 30 of leaving your job
- **Candidate Statements:**  
Due no later than the final filing deadline for the declaration of candidacy
- **Amendments:**  
Due as soon as possible after you notice the error or omission

# Exceptions

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- If the due date falls on a weekend or holiday, the statement is due on the following business day.
- If you started your job October 1<sup>st</sup> – December 31<sup>st</sup>, and filed an assuming office statement within 30 days of your start date, you are not required to complete an annual statement this year.
- If you are leaving your job before the April deadline, you may file a combined annual and leaving office statement. You must file by the April deadline or within 30 days of leaving office, whichever is earlier.

# Who is Your Filing Officer?

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- City Clerk
- County Clerk
- Clerk of the Board
- Registrar of Voters
- Employee at State or Local Agency who asked you to complete the Form 700

# What Do Filing Officers Do?

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## Filing officers CAN:

- Supply you with the Form 700
- Notify you of due dates
- Accept and review completed statements
- Notify you of errors and request amendments
- Provide contact information for technical help for e-filing systems

## Filing officers CANNOT:

- Provide detailed information on how to complete the form
- Provide answers to gift and travel payment questions

# Electronic Filing Systems

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- Some agencies have e-filing systems which all filers use.
- Many agencies do NOT have e-filing systems.
  - Most filers at these agencies will complete and submit a hard copy of the statement to the filing officer.
  - Certain filers at these agencies will complete their statements using FPPC's e-filing system (usually 87200 filers and State agency heads).
- Technical problems with e-filing systems should be directed to filing officers.

# Things to Keep in Mind

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- Conflict of Interest Code
- Jurisdiction
- Types of Assets
- Thresholds
- Exceptions

# Questions

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- Call 916-322-5660 or 866-275-3772 (866-ASK-FPPC)
  - Monday - Thursday, 9–11:30 a.m.
- E-mail [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)

## E-Filing Problems

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- Your agency's system: Contact your filing officer
- FPPC's system: E-mail [form700@fppc.ca.gov](mailto:form700@fppc.ca.gov)