

# Candidates & Treasurers

Presented by:

**Katie Trumbly and Stephen Hernandez**

*May 28, 2020*





# Fair Political Practices Commission

- Proposition 9, known today as the Political Reform Act, 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.



# Let's learn about:

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- Campaign Forms
- Committee IDs
- Campaign Bank Accounts
- Recordkeeping

# Form 501: Candidate Intention Statement

## WHEN:

- File before spending or receiving money, including personal funds

## WHERE:

- File with your local filing officer (city clerk or Registrar of Voters)

Also: must file a 501 if running for re-election

Candidate Intention Statement				Date Stamp	CALIFORNIA FORM 501 For Official Use Only
Check One: <input checked="" type="checkbox"/> Initial <input type="checkbox"/> Amendment (Explain) _____					
<b>1. Candidate Information:</b>					
NAME OF CANDIDATE (Last, First Middle Initial)		DAYTIME TELEPHONE NUMBER	FAX NUMBER (optional)	EMAIL (optional)	
Hermione Granger		( 555 ) 555-1234	( )	hermione4minister@gmail.com	
STREET ADDRESS		CITY	STATE	ZIP CODE	
1800 Park St.		Southwark	CA	18442	
OFFICE SOUGHT (POSITION TITLE)		AGENCY NAME	DISTRICT NUMBER, if applicable	<input checked="" type="checkbox"/> NON-PARTISAN OFFICE	
Minister of Magic		Ministry of Magic		PARTY PREFERENCE:	
OFFICE JURISDICTION					
<input type="checkbox"/> State (Complete Part 2.) <input checked="" type="checkbox"/> City <input type="checkbox"/> County <input type="checkbox"/> Multi-County: _____ (Name of Multi-County Jurisdiction)					
(Check one box, if applicable.) <input checked="" type="checkbox"/> PRIMARY / GENERAL <input type="checkbox"/> SPECIAL / RUNOFF					
20XX (Year of Election)					
<b>2. State Candidate Expenditure Limit Statement:</b>					
(CalPERS and CalSTRS candidates, judges, judicial candidates, and candidates for local offices do not complete Part 2.)					
(Check one box)					
<input type="checkbox"/> I accept the voluntary expenditure ceiling for the election stated above.					
<input type="checkbox"/> I do not accept the voluntary expenditure ceiling for the election stated above.					
Amendment:					
<input type="radio"/> I did not exceed the expenditure ceiling in the primary or special election held on: ____/____/____ and I accept the voluntary expenditure ceiling for the general or special run-off election.					
(Mark if applicable)					
<input type="checkbox"/> On ____/____/____, I contributed personal funds in excess of the expenditure ceiling for the election stated above.					
<b>3. Verification:</b>					
I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.					
Executed on		1/15/XX	Signature		Hermione Granger
		(month, day, year)			(Candidate)
FPPC Form 501 (August/2010) FPPC Advice: advice@fppc.ca.gov (866/275-3777)					

# Form 470 – Officeholder and Candidate Campaign Statement — Short Form

## WHO:

Form 470 is for use by  
officeholders and candidates  
who:

- do not have a controlled committee; and
- do not anticipate receiving contributions totaling \$2,000 or more during the calendar year; and
- do not anticipate spending \$2,000 or more during the calendar year.

Officeholder and Candidate Campaign Statement - Short Form		Date Stamp	<b>CALIFORNIA FORM 470</b> <small>For Official Use Only</small>
Date of election if applicable: (Month, Day, Year)  <u>11/5/2020</u>	<input type="checkbox"/> Amendment (Explain Below)  _____ _____		

1. Statement Covers Calendar Year 20 <u>20</u> .												
2. Officeholder or Candidate Information <small>NAME OF OFFICEHOLDER OR CANDIDATE</small> <u>Gilderoy Lockhart</u> <small>STREET ADDRESS</small> <u>890 Highbridge Rd.</u> <small>CITY</small> <u>Barking</u> <small>STATE</small> <u>CA</u> <small>ZIP CODE</small> <u>11732</u> <small>AREA CODE/DAYTIME PHONE NUMBER</small> <u>555-555-1200</u> <small>OPTIONAL: FAX / E-MAIL ADDRESS</small>		3. Office Sought or Held <small>OFFICE SOUGHT OR HELD</small> <u>Owelt Trainer Academy Board</u> <small>JURISDICTION (LOCATION)</small> <u>Kempston, Bedfordshire</u> <small>DISTRICT NUMBER (IF APPLICABLE)</small>										
4. Committee Information List all committees of which you have knowledge that are primarily formed to receive contributions or to make expenditures on behalf of your candidacy. <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <tr> <th style="width: 33%;"><small>COMMITTEE NAME AND I.D. NUMBER</small></th> <th style="width: 33%;"><small>COMMITTEE ADDRESS</small></th> <th style="width: 33%;"><small>NAME OF TREASURER</small></th> </tr> <tr> <td style="height: 40px;"></td> <td></td> <td></td> </tr> <tr> <td style="height: 40px;"></td> <td></td> <td></td> </tr> </table>				<small>COMMITTEE NAME AND I.D. NUMBER</small>	<small>COMMITTEE ADDRESS</small>	<small>NAME OF TREASURER</small>						
<small>COMMITTEE NAME AND I.D. NUMBER</small>	<small>COMMITTEE ADDRESS</small>	<small>NAME OF TREASURER</small>										
5. Verification I declare under penalty of perjury that to the best of my knowledge I anticipate that I will receive less than \$2,000 and that I will spend less than \$2,000 during the calendar year and that I have used all reasonable diligence in preparing this statement. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct. <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 45%;"> <small>Executed on</small> <u>6/5/2020</u>  <small>DATE</small> </div> <div style="width: 45%; text-align: right;"> <small>By</small> <u>Gilderoy Lockhart</u>  <small>SIGNATURE OF OFFICEHOLDER OR CANDIDATE</small> </div> </div>												

# Form 470 Supplemental

- Used by candidates who exceed the \$2000 threshold after they filed Form 470.
- Must be sent within 48 hours of receiving contributions totaling \$2,000 or more or making expenditures of \$2,000 or more.
- Must be sent by guaranteed overnight delivery service, personal delivery, fax, or email. Regular mail may not be used.
- Must be delivered to ALL of the following:
  - Local Filing Officer
  - Opposing Candidates
  - Secretary of State

# Form 410: Statement of Organization

## WHEN:

- Within 10 days of raising or spending \$2,000

## WHERE:

- Original with SOS; copy to filing officer

Statement of Organization Recipient Committee				Date Stamp	CALIFORNIA FORM 410 For Official Use Only
Statement Type		<input checked="" type="checkbox"/> Initial <input type="checkbox"/> Not yet qualified or <input type="checkbox"/> Date qualification threshold met	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination – See Part 5	
1. Committee Information		I.D. Number (if applicable)	Chair and Other Principal Officers		
NAME OF COMMITTEE		NAME OF CHAIR			
Hermione Granger for Minister of Magic 20XX		Penelope Clearwater			
STREET ADDRESS (NO P.O. BOX)		STREET ADDRESS (NO P.O. BOX)			
1800 Park St.		2400 Charing Cross Rd.			
CITY	STATE	ZIP CODE	AREA CODE/PHONE		
Southwark	CA	18442	555-555-1234		
FULL MAILING ADDRESS (IF DIFFERENT)		NAME OF ASSISTANT TREASURER, IF ANY			
hermione4minister@gmail.com		Hermione Granger			
E-MAIL ADDRESS (REQUIRED) / FAX (OPTIONAL)		STREET ADDRESS (NO P.O. BOX)			
hermione4minister@gmail.com		1800 Park St.			
CITY	STATE	ZIP CODE	AREA CODE/PHONE		
Southwark	CA	18442	555-555-1234		
COUNTY OF DOMICILE	JURISDICTION WHERE COMMITTEE IS ACTIVE		NAME OF PRINCIPAL OFFICER(S)		
Surrey	The Wizarding World of Harry Potter		Virginia Weasley-Potter		
STREET ADDRESS (NO P.O. BOX)		STREET ADDRESS (NO P.O. BOX)			
74 Cornwall Gardens Place		74 Cornwall Gardens Place			
CITY	STATE	ZIP CODE	AREA CODE/PHONE		
Kensington	CA	74744	555-444-1234		
Attach additional information on appropriately labeled continuation sheets.					
3. Verification					
I have used all reasonable diligence in preparing this statement and to the best of my knowledge the information contained herein is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.					
Executed on	6/21/2019	DATE	By	Penelope Clearwater	SIGNATURE OF TREASURER OR ASSISTANT TREASURER
Executed on	6/21/2019	DATE	By	Hermione Granger	SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROPONENT

Must include last name, office sought, and election year

SOS will reject if e-mail is not provided

## Committee ID/Bank Account

- Will reject with no info on bank account

- “Pending” is only acceptable on initial & not yet qualified forms

A candidate's campaign committee is a controlled committee

# Committee ID Number

- Used on all FPPC forms
- Issued upon receipt & processing of 410 from Secretary of State
- **cal-access.sos.ca.gov**

The screenshot shows the California Secretary of State's Cal-Access website. The header includes the California state seal and the name 'Secretary of State ALEX PADILLA'. Navigation tabs include 'SECRETARY OF STATE', 'ELECTIONS', 'CAMPAIGN & LOBBYING', 'BUSINESS PROGRAMS', 'STATE ARCHIVES', and 'REGISTRIES'. The 'Cal-Access Search' section has a search bar with a 'GO' button and a link to 'Advanced Search'. A sidebar on the left contains links to 'Cal-Access Home', 'Campaign Finance', 'Lobbying Activity', 'Resources', 'For Filers Only', 'Political Reform', and 'User's Manual'. The main content area displays 'Search Results For "granger"' with a note '\* ENTITY NAME HAS CHANGED'. Below this is a table with four columns: ENTITY ID, ENTITY NAME, ENTITY TYPE, and STATUS.

ENTITY ID	ENTITY NAME	ENTITY TYPE	STATUS
<a href="#">1263958</a>	GRANGER & SANTRY, P.A.	MAJOR DONOR	
<a href="#">1407367</a>	GRANGER FOR CHABOT-LAS POSITAS COMMUNITY COLLEGE BOARD 2018; LINDA *	RECIPIENT COMMITTEE	ACTIVE
<a href="#">1407367</a>	GRANGER FOR CHABOT-LAS POSITAS COMMUNITY COLLEGE BOARD 2022; LINDA	RECIPIENT COMMITTEE	ACTIVE
<a href="#">982930</a>	GRANGER FOR SCHOOL BOARD, PAMELA	RECIPIENT COMMITTEE	TERMINATED
<a href="#">931651</a>	GRANGER, COMMITTEE TO ELECT GEORGE	RECIPIENT COMMITTEE	TERMINATED
	GRANGER, PAMELA	CANDIDATE	
<a href="#">1335429</a>	<a href="#">TRIPP, GRANGER</a>	LOBBYIST	TERMINATED



# Bank Account Rules

- One bank account
- No commingling
- All campaign expenditures from campaign account
  - *Exception:* Filing and ballot statement fees
- Can be a personal account

# Form 700: Statement of Economic Interests

## WHEN:

- By the declaration for candidacy

## WHERE:

- File with your local elections office

Also: public document

CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION		STATEMENT OF ECONOMIC INTERESTS COVER PAGE A PUBLIC DOCUMENT		Date Initial Filing Received <small>Official Use Only</small>
<i>Please type or print in ink.</i>				
NAME OF FILER (LAST)	(FIRST)	(MIDDLE)		
Granger	Hermione	Jean		
<b>1. Office, Agency, or Court</b>				
Agency Name (Do not use acronyms) Ministry of Magic				
Division, Board, Department, District, if applicable		Your Position Minister		
► If filing for multiple positions, list below or on an attachment. (Do not use acronyms)				
Agency: _____		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 type="checkbox"/> Multi-County _____		<input checked="" type="checkbox"/> County of Sussex		
<input type="checkbox"/> City of _____		<input type="checkbox"/> Other _____		
<b>3. Type of Statement (Check at least one box)</b>				
<input type="checkbox"/> Annual: The period covered is January 1, 2018, through December 31, 2018.		<input type="checkbox"/> Leaving Office: Date Left ____/____/____ (Check one circle.)		
-or- The period covered is ____/____/____, through December 31, 2018.		<input type="radio"/> The period covered is January 1, 2018, through the date of leaving office.		
<input type="checkbox"/> Assuming Office: Date assumed ____/____/____		-or- <input type="radio"/> The period covered is ____/____/____, through the date of leaving office.		
<input checked="" type="checkbox"/> Candidate: Date of Election 20XX		and office sought, if different than Part 1: _____		
<b>4. Schedule Summary (must complete) ► Total number of pages including this cover page: _____</b>				
<b>Schedules attached</b>				
<input checked="" type="checkbox"/> Schedule A-1 - Investments - schedule attached		<input checked="" type="checkbox"/> Schedule C - Income, Loans, & Business Positions - schedule attached		
<input checked="" type="checkbox"/> Schedule A-2 - Investments - schedule attached		<input checked="" type="checkbox"/> Schedule D - Income - Gifts - schedule attached		
<input checked="" type="checkbox"/> Schedule B - Real Property - schedule attached		<input checked="" type="checkbox"/> Schedule E - Income - Gifts - Travel Payments - schedule attached		
-or- <input type="checkbox"/> None - No reportable interests on any schedule				
<b>5. Verification</b>				
MAILING ADDRESS (Business or Agency Address Recommended - Public Document)		CITY	STATE	ZIP CODE
1800 Park St.		Southwark	CA	18442
DAYTIME TELEPHONE NUMBER ( 555 ) 555-1234		EMAIL ADDRESS hermione4minister@gmail.com		
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 3/15/XX <small>(month, day, year)</small>		Signature <i>Hermione Granger</i> <small>(File the originally signed paper statement with your filing official)</small>		

# Recordkeeping Rules

- Receipts, campaign forms, supporting documentation:  
**Four years**
- Contributions:
  - Daily record
  - Contributor record
    - \$25 or more: names & addresses
    - \$100 or more: names, addresses, occupations, employers
- Campaign Manual Chapter 2
- Candidate & treasurer equally liable



# Let's learn about:

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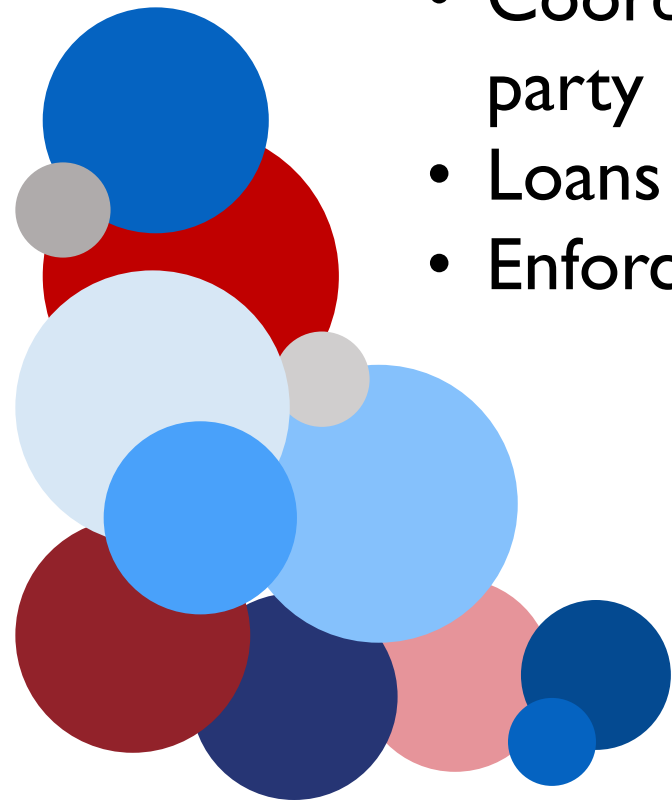
## Campaign Contributions

# Defining Contributions

## *What is a contribution?*

- Money (cash, check, credit card)
- Nonmonetary items
- Coordinated payments made by a 3<sup>rd</sup> party
- Loans
- Enforceable promises

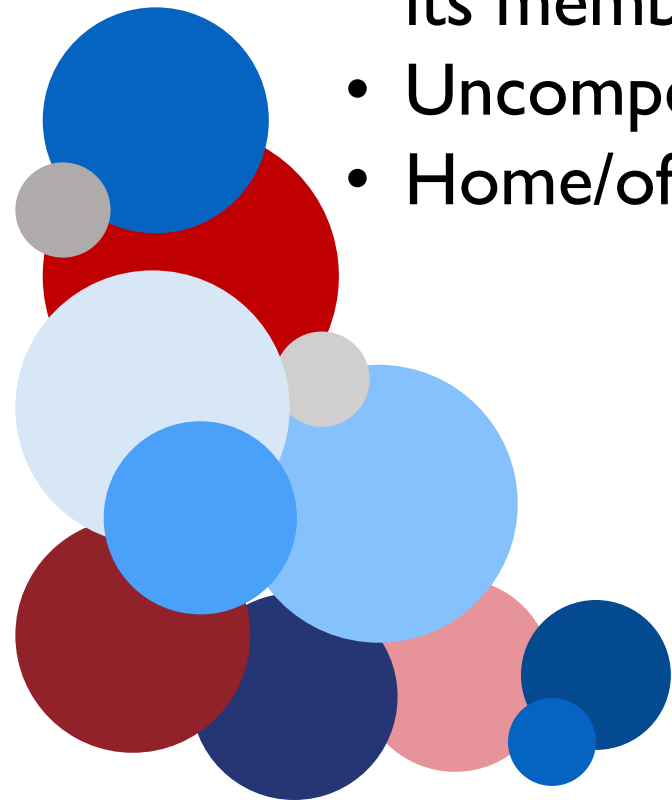
**Note: all contributions must be disclosed on the Form 460**



# Defining Contributions

## *Exceptions to Contributions*

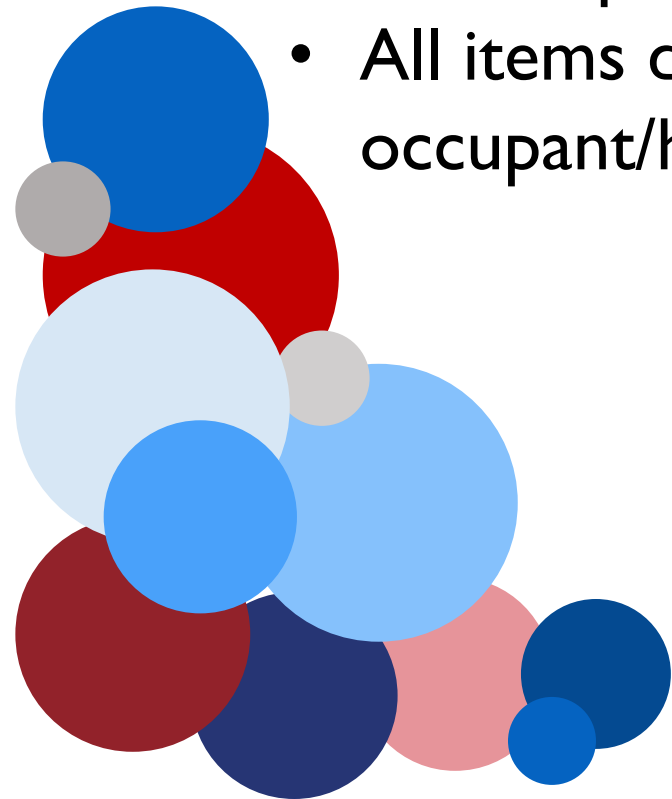
- Volunteer personal services
- Communications from organization to its members
- Uncompensated internet activity
- Home/office fundraiser



# Defining Contributions

## *Home and Office Fundraiser Exception*

- \$500 reportable threshold
- All items donated to event, not just occupant/host contributions



# Defining Contributions

## *When are monetary contributions received?*

- Date received is the earlier of the following options:
  - **Possession** of check (not date deposited)
  - **Possession** of payment information for credit cards
  - When a **contract vendor or collecting agent** receive either of the above.

# Contribution Rules

## *Receiving Electronic Contributions*

- Credit card
- Wire transfer
- Debit account transaction
- Text message
- PayPal, Venmo, Stripe, ActBlue, Anedot, etc.

*Fees associated with this type of fundraising or deducted by the vendor before the contributions are sent are reported as expenditures. **The fees are not deducted from the amount of each contribution reported.***

# Contribution Rules

## *Restrictions*

- Contributions of \$25 or more without contributors name and address
  - Contributions less than \$25 may remain anonymous
- Contributions of \$100 or more in cash, money order, or cashier's check
- Contributions from foreign government or principal
  - Permanent Green Card-holding residents may contribute
- Local contribution limits may apply

# Contribution Rules

## *Restrictions and Decision Making Qualification*

If the candidate is an official who holds an appointed position and receives contributions for an elective office, he/she may be subject to the provisions of GC 84308, which prohibits officials from soliciting or accepting contributions of \$250 or more from an entity doing business before the official's agency.

### **Who is Covered Under GC 84308?**

- Planning Commissioners
- Local Agency Formation Commission members (LAFCO)
- Transportation Authority members
- Air Quality Management District members
- Waste Management Authority members
- California Coastal Commissioners

# Contribution Rules

## *Major Donor Notification*

You **must** send a contributor of \$5,000 or more a notice that they may need to file as a major donor.

Major donors may need to file:

- Form 461, Major Donor Statement
- Form 497, 24-Hour/10-Day Contribution report



# Quick review

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What is one thing you  
have learned about  
campaign  
contributions?



# Let's learn about:

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## Campaign Statement Form 460

# Campaign Statement Form 460 Cover Page

Recipient Committee Campaign Statement Cover Page		COVER PAGE	
SEE INSTRUCTIONS ON REVERSE		Date Stamp	CALIFORNIA FORM <b>460</b>
Statement covers period from <u>7/1/20XX</u> through <u>9/22/20XX</u>		Date	<u>1</u> of <u>16</u>
Check filing schedule for dates		Check filing schedule for type of statement	
<b>1. Type of Recipient Committee</b> <input checked="" type="checkbox"/> Officeholder, Candidate Committee <input type="checkbox"/> State Candidate Election Committee <input type="checkbox"/> Recall <small>(Also Complete Part 5)</small> <input type="checkbox"/> General Purpose Committee <input type="checkbox"/> Sponsored <input type="checkbox"/> Small Contributor Committee <input type="checkbox"/> Political Party/Central Committee <input type="checkbox"/> Primarily Formed Ballot Measure Committee <input type="checkbox"/> Controlled <input type="checkbox"/> Sponsored <small>(Also Complete Part 6)</small> <input type="checkbox"/> Primarily Formed Candidate/Officeholder Committee <small>(Also Complete Part 7)</small>		<b>2. Type of Statement:</b> <input checked="" type="checkbox"/> Preelection Statement <input type="checkbox"/> Semi-annual Statement <input type="checkbox"/> Termination Statement <small>(Also file a Form 410 Termination)</small> <input type="checkbox"/> Amendment (Explain below) <input type="checkbox"/> Quarterly Statement <input type="checkbox"/> Special Odd-Year Report	
<b>3. Committee Information</b> <small>COMMITTEE NAME (OR CANDIDATE'S NAME IF NO COMMITTEE)</small> <u>Hermione Granger for Minister of Magic 20XX</u> <small>STREET ADDRESS (NO P.O. BOX)</small> <u>1800 Park St.</u> <small>CITY</small> <u>Southwark</u> <small>STATE</small> <u>CA</u> <small>ZIP CODE</small> <u>18442</u> <small>AREA CODE/PHONE</small> <u>555-555-1234</u> <small>MAILING ADDRESS (IF DIFFERENT) NO. AND STREET OR P.O. BOX</small> <small>CITY</small> _____ <small>STATE</small> _____ <small>ZIP CODE</small> _____ <small>AREA CODE/PHONE</small> _____ <small>OPTIONAL: FAX / E-MAIL ADDRESS</small> <u>hermione4minister@gmail.com</u>		<b>Treasurer(s)</b> <small>NAME OF TREASURER</small> <u>Penelope Clearwater</u> <small>MAILING ADDRESS</small> <u>2400 Charing Cross Rd.</u> <small>CITY</small> <u>Covent Garden</u> <small>STATE</small> <u>CA</u> <small>ZIP CODE</small> <u>20634</u> <small>AREA CODE/PHONE</small> <u>555-555-1233</u> <small>NAME OF ASSISTANT TREASURER, IF ANY</small> <small>MAILING ADDRESS</small> <small>CITY</small> _____ <small>STATE</small> _____ <small>ZIP CODE</small> _____ <small>AREA CODE/PHONE</small> _____ <small>OPTIONAL: FAX / E-MAIL ADDRESS</small>	
<b>4. Verification</b> I have used all reasonable diligence in the preparation of this statement and certify under penalty of perjury under the laws of the State of California that to the best of my knowledge the information contained herein and in the attached schedules is true and complete. I			
Executed on <u>9/26/20XX</u> <small>Date</small>		Signature of Treasurer or Assistant Treasurer <u>Penelope Clearwater</u>	
Executed on <u>9/28/20XX</u> <small>Date</small>		Signature of Controlling Officeholder, Candidate, State Measure Proponent or Responsible Officer of Sponsor <u>Hermione Granger</u>	

Candidate and treasurer must both sign

# Form 460

## Snapshot of Schedules

### Money In

- A: Contributions
- B: Loans received
- C: Non-monetary contributions
- I: Misc. Increases to cash

### Money Out

- B: Loan repayments
- E: Expenditures
- F: Accrued expenses

# Form 460 - Schedule A

## Reporting Monetary Contributions

Include individual's occupation & employer

Contributions given in an earlier reporting period are added to the new contribution

DATE RECEIVED	FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CONTRIBUTOR CODE	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	AMOUNT RECEIVED THIS PERIOD	CUMULATIVE TO DATE CALENDAR YEAR (JAN. 1 - DEC. 31)	PER ELECTION TO DATE (IF REQUIRED)
7/13/XX	Colin Creevey 800 Monument Rd. Paddington, CA 95169	<input checked="" type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC	Physician, St. Mungo's Hospital	250	300	
7/13/XX	Ernie Macmillan 33 King Street Covent Garden, CA 28643	<input checked="" type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC	Owner, Honeyduke's Sweet Shop	99	198	
7/13/XX	Honeydukes Sweet Shop 33 King Street Covent Garden, CA 28643	<input checked="" type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC		99	198	
7/30/XX	Society for the Promotion of Elfish Welfare 70 Whitehall Rd. Westminster, CA 12382	<input type="checkbox"/> IND <input checked="" type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC	ID # 940120	100		

IND = Individual  
COM = Committee  
OTH = Other (e.g., business)  
PTY = Political party  
SCC = Small Contributor committee

Report all contributions less than \$100 in a lump sum

### Schedule A Summary

- Amount received this period – itemized monetary contributions.  
(Include all Schedule A subtotals.) .....\$ **860**
- Amount received this period – unitemized monetary contributions of less than \$100 .....\$ **1,200**
- Total monetary contributions received this period.  
(Add Lines 1 and 2. Enter here and on the Summary Page, Column A, Line 1.) ..... **TOTAL \$ 2,060**

# Donor Information

Individual contributors of \$100 or more:

- Name and street address
- The occupation and employer

Correct

Manager, Harvey's Hardware Store  
Self-Employed, No Separate Business Name  
Attorney, Fong & Associates  
Consultant, Strategic Politics  
Homemaker or Student  
Retired

Manager  
Owner  
Neighbor  
Friend  
Consultant, SPS Inc.  
Business Person  
Entrepreneur  
Philanthropist

Incorrect



# **Schedule B**

## ***Reporting Loans Received***

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- Multiple loans by single sources listed separately
- Personal funds may be reported as a loan
- Report the bank that makes the loan

# Schedule B

## Reporting Loans Received

FULL NAME, STREET ADDRESS AND ZIP CODE OF LENDER (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	(a) OUTSTANDING BALANCE BEGINNING THIS PERIOD	(b) AMOUNT RECEIVED THIS PERIOD	(c) AMOUNT PAID OR FORGIVEN THIS PERIOD *	(d) OUTSTANDING BALANCE AT CLOSE OF THIS PERIOD	(e) INTEREST PAID THIS PERIOD	(f) ORIGINAL AMOUNT OF LOAN	(g) CUMULATIVE CONTRIBUTIONS TO DATE
Hermione Granger 1800 Park Street Southwark, CA 18442 † <input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC	Headmaster, Hogwarts School of Witchcraft & Wizardry	\$ 3,000	\$ 0	<input type="checkbox"/> PAID \$ 1,000 <input type="checkbox"/> FORGIVEN \$ 0	\$ 2,000 N/A DATE DUE	N/A % RATE	\$ 3,000 X/X/XX DATE INCURRED	CALENDAR YEAR \$ 2,200 PER ELECTION** \$ N/A
Hermione Granger 1800 Park Street Southwark, CA 18442 † <input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC	Headmaster, Hogwarts School of Witchcraft & Wizardry	\$ 0	\$ 200	<input type="checkbox"/> PAID \$ 0 <input type="checkbox"/> FORGIVEN \$ 0	\$ 200 N/A DATE DUE	N/A % RATE	\$ 200 X/X/XX DATE INCURRED	CALENDAR YEAR \$ 2,200 PER ELECTION** \$ N/A
 † <input type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC		\$	\$	<input type="checkbox"/> PAID \$ <input type="checkbox"/> FORGIVEN \$	\$ DATE DUE	% RATE	\$ DATE INCURRED	CALENDAR YEAR \$ PER ELECTION** \$
<b>SUBTOTALS</b>		\$ 200	\$ 1,000	\$ 2,200	\$ 0			

**Schedule B Summary**

1. Loans received this period ..... \$ 200  
(Total Column (b) plus unitemized loans of less than \$100.)

2. Loans paid or forgiven this period ..... \$ 1,000  
(Total Column (c) plus loans under \$100 paid or forgiven.)  
(Include loans paid by a third party that are also itemized on Schedule A.)

3. Net change this period. (Subtract Line 2 from Line 1.) ..... (800)  
Enter the net here and on the Summary Page, Column A, Line 2. (May be a negative number)

†Contributor Codes

IND – Individual

COM – Recipient Committee  
(other than PTY or SCC)

OTH – Other (e.g., business entity)

PTY – Political Party

SCC – Small Contributor Committee

May end up being a negative number

Report all loans received until they are completely paid off

# Schedule C

## Reporting

## Non-Monetary

## Contributions

- Food/beverages
- Rental space
- Polls
- Discounts

DATE RECEIVED	FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CONTRIBUTOR CODE *	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	DESCRIPTION OF GOODS OR SERVICES	AMOUNT/ FAIR MARKET VALUE	CUMULATIVE TO DATE CALENDAR YEAR (JAN 1 - DEC 31)	PER ELECTION TO DATE (IF REQUIRED)
3/22/XX	Ernie Macmillan 33 King Street Covent Garden, CA 28643	<input checked="" type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC	Owner, Honeydukes Sweetshop	Food for fundraiser	500	500	
5/12/XX	Wizards for Arithmancy 79 Duke Street Mayfair, CA 15764	<input type="checkbox"/> IND <input type="checkbox"/> COM <input checked="" type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC		Accounting services	250	250	
6/12/XX	Luna Lovegood 37 Hoxton Square Shoreditch, CA 16920	<input checked="" type="checkbox"/> IND <input type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC	Editor in chief, The Quibbler	Flyers	1,200	1,200	

# Non-Monetary Contributions

- Report donated items at fair market value
  - The amount it would cost for a member of the public to purchase the item
- Provide a description of good or service
- Aggregate monetary and non-monetary contributions from a single source

# Schedule E

## *Reporting Campaign Expenditures*

---

- Political, legislative, or governmental purpose
- Petty cash fund (\$100 or less)
- No cash expenditure of \$100 or more.
- Credit cards OK
  - Must be zeroed out first.
  - Can only be used for campaign purposes, until campaign expenses are fully paid off.

**Note:** A spouse or domestic partner of an elected officer or a candidate may not receive compensation from campaign funds for services rendered, including fundraising services for the candidate's campaign.

**Campaign funds may not be used for personal purposes!**

# Schedule E

## Reporting Payments Made

Itemize expenditures of \$100. Gifts, meals, and travel require certain details.

NAME AND ADDRESS OF PAYEE (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CODE OR	DESCRIPTION OF PAYMENT	AMOUNT PAID
Red Dog Saloon 37 Hoxton Square, Shoreditch, CA 16944		6/8/XX Strategy lunch (candidate, treasurer, and two others present)	120
Hermione Granger 1800 Park St., Southwark, CA 18442	FIL		1,000
Gringott's Bank 104 Diagon Alley, Mayfair, CA 20754			1,500
SUBVENDOR: Floo Network Phone Bank Systems \$750 321 Whitehall Pl., Westminster, CA 26540	PHO		

Reimburse  
candidate for filing  
fees

Credit card payment

# Schedule E

## *Reporting Subvendor Payments*

---

- Subvendors of campaign agents and consultants
- Itemize payments of \$500 or more
- Reimburse campaign workers with 45 days

NAME AND ADDRESS OF PAYEE (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CODE	OR	DESCRIPTION OF PAYMENT	AMOUNT PAID
Cho Chang Consulting 11 Newburgh St. Soho, CA 17762	CNS			1,400
VENDORS PAID \$500 OR MORE: Daily Prophet, 29 Savoy Pl, London, CA 26520 \$750 Snape Voter Systems, 7 Rye Rd., Peckham, CA 15499 \$525		LIT VOT		

# Campaign Disclosure Statement Summary Page

Amounts may be rounded  
to whole dollars.

SUMMARY PAGE

Statement covers period  
from **7/1/20XX**  
through **9/22/20XX**

CALIFORNIA  
FORM **460**

Page **3** of **16**

SEE INSTRUCTIONS ON REVERSE

NAME OF FILER

**HERMIONE GRANGER FOR MINISTER OF MAGIC 20XX**

I.D. NUMBER

**123456**

## Contributions Received

	Column A TOTAL THIS PERIOD (FROM ATTACHED SCHEDULES)	Column B CALENDAR YEAR TOTAL TO DATE
1. Monetary Contributions..... Schedule A, Line 3	\$ <b>2,060</b>	\$ <b>2,060</b>
2. Loans Received..... Schedule B, Line 3	\$ <b>(800)</b>	\$ <b>7,200</b>
3. SUBTOTAL CASH CONTRIBUTIONS..... Add Lines 1 + 2	\$ <b>1,260</b>	\$ <b>9,260</b>
4. Nonmonetary Contributions..... Schedule C, Line 3	\$ <b>1,620</b>	\$ <b>1,620</b>
5. TOTAL CONTRIBUTIONS RECEIVED..... Add Lines 3 + 4	\$ <b>2,880</b>	\$ <b>10,880</b>

## Calendar Year Summary for Candidates Running in Both the State Primary and General Election

20. C  
R  
21. E  
M

**N/A for local  
candidates**

## Expenditures Made

6. Payments Made..... Schedule E, Line 4	\$ <b>14,925</b>	\$ <b>14,925</b>
7. Loans Made..... Schedule H, Line 3	\$ <b>0</b>	\$ <b>0</b>
8. SUBTOTAL CASH PAYMENTS..... Add Lines 6 + 7	\$ <b>14,925</b>	\$ <b>14,925</b>
9. Accrued Expenses (Unpaid Bills)..... Schedule F, Line 3	\$ <b>(1,000)</b>	\$ <b>2,000</b>
10. Nonmonetary Adjustment..... Schedule C, Line 3	\$ <b>1,620</b>	\$ <b>1,620</b>
11. TOTAL EXPENDITURES MADE..... Add Lines 8 + 9 + 10	\$ <b>15,545</b>	\$ <b>18,545</b>

## Expenditure Limit Summary for State Candidates

**N/A for local  
candidates**

## Current Cash Statement

12. Beginning Cash Balance..... Previous Summary Page, Line 16	\$ <b>24,485</b>
13. Cash Receipts..... Column A, Line 3 above	\$ <b>1,260</b>
14. Miscellaneous Increases to Cash..... Schedule I, Line 4	\$ <b>20</b>
15. Cash Payments..... Column A, Line 8 above	\$ <b>14,925</b>
16. ENDING CASH BALANCE..... Add Lines 12 + 13 + 14, then subtract Line 15	\$ <b>10,840</b>

If this is a termination statement, Line 16 must be zero.

17. LOAN GUARANTEES RECEIVED..... Schedule B, Part 2	\$ <b>0</b>
--	-------------

## Cash Equivalents and Outstanding Debts

18. Cash Equivalents..... See instructions on reverse	\$ <b>0</b>
19. Outstanding Debts..... Add Line 2 + Line 9 in Column B above	\$ <b>9,200</b>

To calculate Column B, add amounts in Column A to the corresponding amounts from Column B of your last report. Some amounts in Column A may be negative figures that should be subtracted from previous period amounts. If this is the first report being filed for this calendar year, only carry over the amounts from Lines 2, 7, and 9 (if any).

\*Amounts in this section  
reported in Column B

**Form 460—  
Summary  
Page**



# Let's learn about:

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- Form 497
- Filing Schedules
- Advertisement Disclosures
- Mass Mailing
- After Elections

# 24-Hour/10-Day Contribution Report

## Form 497

- \$1,000 or more from a single source within the 90 days before and on the date of the election
- Filed by personal delivery, guaranteed overnight mail, fax, email

497 Contribution Report		Amounts may be rounded to whole dollars.		
NAME OF FILER <b>Hermione Grange for Minister of Magic 20XX</b>		Date of This Filing <b>1/12/20XX</b>	Date Stamp	<b>CALIFORNIA FORM 497</b> For Official Use Only
AREA CODE/PHONE NUMBER <b>(555) 555-1234</b>	I.D. NUMBER (if applicable) <b>123456</b>	Report No. <b>3</b>		
STREET ADDRESS <b>1800 Park St.</b>		<input type="checkbox"/> Amendment to Report No. _____ (explain below)		
CITY <b>Southwark</b>	STATE <b>CA</b>	ZIP CODE <b>18442</b>	No. of Pages <b>1</b>	
<b>1. Contribution(s) Received</b>				
DATE RECEIVED	FULL NAME, STREET ADDRESS AND ZIP CODE OF CONTRIBUTOR (IF COMMITTEE, ALSO ENTER I.D. NUMBER)	CONTRIBUTOR CODE*	IF AN INDIVIDUAL, ENTER OCCUPATION AND EMPLOYER (IF SELF-EMPLOYED, ENTER NAME OF BUSINESS)	AMOUNT RECEIVED
<b>1/13/20XX</b>	<b>Weasley's Wizard Wheezes 93 Diagon Alley Charing Cross, CA 20754</b>	<input type="checkbox"/> IND <input checked="" type="checkbox"/> COM <input type="checkbox"/> OTH <input type="checkbox"/> PTY <input type="checkbox"/> SCC		<b>\$1,500</b> <input type="checkbox"/> Check if Loan _____% Provide interest rate

# Filing Schedules

Candidates and committee should be referred to filing schedules if they have questions about:

- Which forms to submit
- Filing Periods
- Deadlines
- Resources/Additional Information\*

\*While filing schedules list additional information, the filing schedule may not have all information. Please contact the FPPC for questions about filing schedules.

# Filing Schedules & Reporting Due Dates

**Fair Political Practices Commission**  
**Filing Schedule for**  
**Candidates and Controlled Committees for Local Office**  
**Listed on the November 3, 2020 Ballot**

<b>Deadline</b>	<b>Period</b>	<b>Form</b>	<b>Notes</b>
<b>July 31, 2020</b> <i>Semi-Annual</i>	* – 6/30/20	<a href="#">460</a> or <a href="#">470</a>	<ul style="list-style-type: none"> <li>• 460: All committees must file Form 460.</li> </ul>
<b>Within 24 Hours</b> <i>Contribution Reports</i>	8/5/20 – 11/3/20	<a href="#">497</a>	<ul style="list-style-type: none"> <li>• File if a contribution of \$1,000 or more in the aggregate is received from a single source.</li> <li>• File if a contribution of \$1,000 or more in the aggregate is made to or in connection with <i>another</i> candidate or measure being voted upon November 3, 2020.</li> <li>• The recipient of a non-monetary contribution of \$1,000 or more in the aggregate must file a Form 497 within 48 hours from the time the contribution is received.</li> <li>• File by personal delivery, e-mail, guaranteed overnight service, or fax. The committee may also file online, if available.</li> </ul>
<b>Sept 24, 2020</b> <i>1<sup>st</sup> Pre-Election</i>	7/1/20 – 9/19/20	<a href="#">460</a> or <a href="#">470</a>	<ul style="list-style-type: none"> <li>• Each candidate listed on the ballot must file Form 460 or Form 470 (see below).</li> </ul>
<b>Oct 22, 2020</b> <i>2<sup>nd</sup> Pre-Election</i>	9/20/20 – 10/17/20	<a href="#">460</a>	<ul style="list-style-type: none"> <li>• All committees must file this statement.</li> <li>• File by personal delivery or guaranteed overnight service. The committee may also file online, if available.</li> </ul>
<b>Feb 1, 2021</b> <i>Semi-Annual</i>	10/18/20 – 12/31/20	<a href="#">460</a>	<ul style="list-style-type: none"> <li>• All committees must file Form 460 unless the committee filed termination Forms 410 and 460 before Dec 31, 2020.</li> </ul>

After the election, most candidates file the 460 semi-annually until the committee is terminated.

# Advertising Disclosures

Advertising disclosures are the portion of a political message that identifies the committee that paid for or authorized the communication.

Some examples of advertising disclosure are, “Paid for by [committee name]” or “Ad paid for by [committee name]”.

Advertising disclosures can vary so you should review the advertising disclosure charts on the FPPC website, in the campaign manuals or feel free to contact the FPPC with any questions.

# Advertisement Disclosures

## Political Advertising Disclaimers

### 1. Communications by Candidate Committees for their own Election

The disclaimer must include, unless otherwise noted: “Paid for by *committee name*”

Examples: “Paid for by Jones for Assembly 20XX”  
“Paid for by Friends of Smith for Mayor 20XX”

Communication	Disclaimer and Manner of Display
All mass mailings – more than 200 substantially similar pieces of mail sent within a calendar month	<ul style="list-style-type: none"><li>• <b>Candidate’s committee name and address</b> (on file with Form 410) on outside of mailing (if no Form 410 on file, use candidate’s name and address)</li><li>• <b>“Paid for by”</b> must be in the same color and font as the committee name and address and immediately in front of or above the name and address</li><li>• If sent by more than one candidate or committee:<ul style="list-style-type: none"><li>○ Also on at least one insert in the mailing</li></ul></li><li>• No less than 6-point type and in a contrasting print or color</li><li>• Return envelopes (if included in solicitation) – committee’s name, address and ID number are recommended but not required</li></ul>
All mass electronic mail – more than 200 substantially similar emails sent within a calendar month	<ul style="list-style-type: none"><li>• <b>“Paid for by [name of candidate or committee]”</b> must be in at least the same size font as a majority of the text (no address is required on mass electronic mailings)</li></ul>

# Advertisement Disclosures

## *Identification on Mass Mailings*

If more than 200 similar pieces are sent  
in a calendar month:

**Paid for by Hermione Granger for Minister of Magic 20XX**  
1800 Park Street  
Southwark, CA 18442



Pansy Parkinson  
545 Golden Square  
Soho, CA 17662



# Mass Mailings

## *Recordkeeping Requirements*

Retain a copy of each mass mailing. In your records, keep note of:

- Date sent
- Method of postage
- Number of pieces
- Copy of the mailing

# After the Election

## *Successful Candidates*

- File reports and pay \$50 while committee remains open
- Receive contributions to pay off campaign debt
- Use leftover funds for future election if they are redesignated or transferred
- Leftover funds become surplus 90 days after leaving office

# After the Election

## *Defeated Candidates*

- File reports and pay \$50 while committee remains open
- Use leftover funds for future election if they are redesignated or transferred
- Leftover funds become surplus 90 days after the end of the semi-annual reporting period following the election

# After the Election

## *Using Leftover Funds for a Future Election*

### Running for the same office

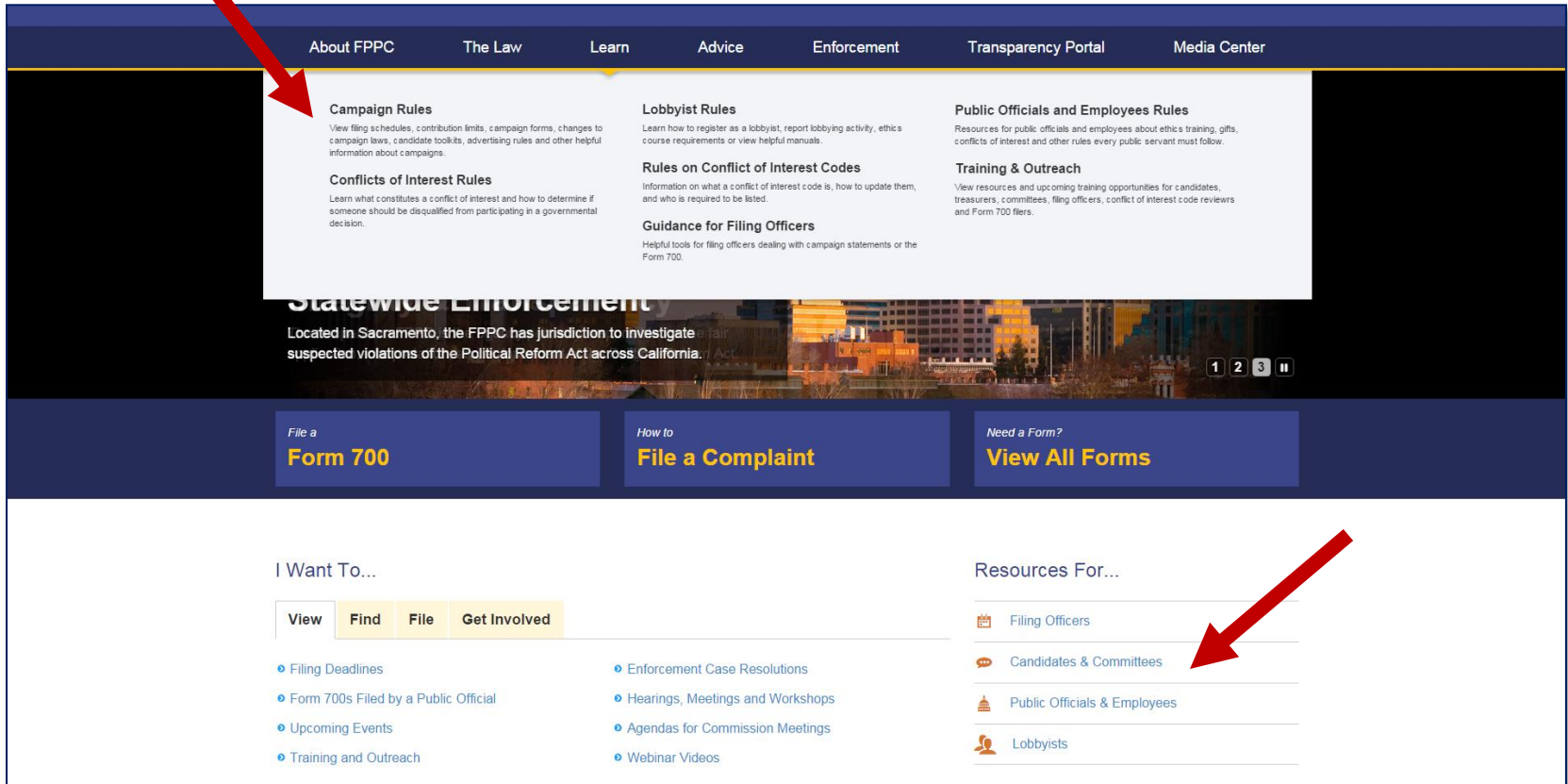
- File 501
- File *amended* Form 410

### Running for Different Office

- File 501
- File a *new* 410
- Open new bank account
- Transfer funds to new bank account
  - *Note: funds and assets must be transferred before becoming surplus*

# Visit Our Website

## www.fppc.ca.gov



The screenshot displays the FPPC website interface. A red arrow points from the top left towards the 'Campaign Rules' link in the 'Learn' navigation menu. Another red arrow points from the bottom right towards the 'Candidates & Committees' link in the 'Resources For...' section.

**Navigation Menu:** About FPPC, The Law, **Learn**, Advice, Enforcement, Transparency Portal, Media Center

**Learn Section:**

- Campaign Rules**  
View filing schedules, contribution limits, campaign forms, changes to campaign laws, candidate toolkits, advertising rules and other helpful information about campaigns.
- Conflicts of Interest Rules**  
Learn what constitutes a conflict of interest and how to determine if someone should be disqualified from participating in a governmental decision.
- Lobbyist Rules**  
Learn how to register as a lobbyist, report lobbying activity, ethics course requirements or view helpful manuals.
- Rules on Conflict of Interest Codes**  
Information on what a conflict of interest code is, how to update them, and who is required to be listed.
- Guidance for Filing Officers**  
Helpful tools for filing officers dealing with campaign statements or the Form 700.
- Public Officials and Employees Rules**  
Resources for public officials and employees about ethics training, gifts, conflicts of interest and other rules every public servant must follow.
- Training & Outreach**  
View resources and upcoming training opportunities for candidates, treasurers, committees, filing officers, conflict of interest code reviews and Form 700 filers.

**Statewide Enforcement**  
Located in Sacramento, the FPPC has jurisdiction to investigate suspected violations of the Political Reform Act across California.

**File a Form 700** | **How to File a Complaint** | **Need a Form? View All Forms**

**I Want To...**

- View** | **Find** | **File** | **Get Involved**
- Filing Deadlines
- Form 700s Filed by a Public Official
- Upcoming Events
- Training and Outreach
- Enforcement Case Resolutions
- Hearings, Meetings and Workshops
- Agendas for Commission Meetings
- Webinar Videos

**Resources For...**

- Filing Officers
- Candidates & Committees**
- Public Officials & Employees
- Lobbyists

**Candidate Toolkit**  
FPPC Home Page →  
Learn → Campaign Rules  
→ Candidate Toolkit

**Basic Rules for Treasurers**  
FPPC Home Page → Learn →  
Campaign Rules → Candidate  
Toolkit

**CALIFORNIA**  
**Fair Political Practices Commission**

Search

About FPPC The Law Learn Advice Enforcement Transparency Portal Media Center

Home | Learn | Campaign Rules

### Candidate Toolkit

- ▶ When and Where to File Campaign Statements
- ▶ State Contribution Limits and Voluntary Expenditure Ceilings
- ▶ Campaign Forms
- ▶ Campaign Disclosure Manuals
- ▶ Campaign Advertising - Requirements & Restrictions
- ▶ Candidate Toolkit
  - ▶ Getting Started
  - ▶ Campaign Reports
  - ▶ Campaign Communications
  - ▶ After the Election
- ▶ Campaign Related Communications at Public Expense--The Do's & Don'ts
- ▶ Local Campaign Ordinances
- ▶ Basic Rules for Treasurers

### Candidate Toolkit

Search

Congratulations on your decision to run for office! Whether you are running for your local school board or a seat in the California Assembly, there are campaign laws and regulations you must follow. The purpose of this toolkit is to help you understand the rules that ensure transparency and accountability in California elections. Click on the links below to find out what your responsibilities are before, during, and after the election. Good luck on your campaign!

- [Getting Started](#)
- [Campaign Reports](#)
- [Campaign Communications](#)
- [After the Election](#)

#### Other Resources

- [Campaign Rules](#)
- [Campaign Disclosure Manual 1 for STATE Candidates](#)
- [Campaign Disclosure Manual 2 for LOCAL Candidates, including Judges.](#)
- [Training & Outreach](#)
- [On-Demand Video for Candidates and Treasurers](#)
- [Campaign Activity FAQs](#)

#### Questions?

- FPPC Advice Line: 1 (866) ASK-FPPC (275-3772)  
9:00 AM - 11:30 AM, Monday through Thursday
- FPPC Advice Email: [advice@fppc.ca.gov](mailto:advice@fppc.ca.gov)



# Thank you!

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