

# What Should Candidates/Committees File Prior to Any Campaign Activity\*?

## CANDIDATES

Less than \$1,000\*

501  
470\*\*

Manual 2 for Local elections

\$1,000\* or More

501  
410  
460  
497

Manual 2 for Local elections

## COMMITTEES

Ballot Measure Committees

410  
460  
497  
511

Manual D

General Purpose Committees

(PACS)  
410  
425  
450  
460  
497

Manual C

Primarily Formed Committees  
to Support/Oppose Candidates

410  
460  
497

Manual 2 for Local elections

\* This includes the candidates' funds kept in campaign bank accounts, and any and all expenditures for campaign purposes such as signs, pamphlets, etc. Campaign activity includes, but is not limited to, the solicitation or receipt of any contribution(s), or expenditures of any personal funds used for the election. Contribution(s) means monetary payments, loans and non-monetary goods or services.

\*\*470 can only be filed by those who do not have an active committee.

Other special reports may be required depending on a committee's activity, such as:

- Supplemental Independent Expenditure Reports (Form 465),
- Supplemental Pre-Election Reports (Form 495), and
- Late Independent Expenditure Reports (Form 496).

Please use this only as a guide and if you have any questions please contact the City Clerk at 650-780-7220. For technical assistance please contact the Fair Political Practices Commission at 1-866-275-3772. All forms can be downloaded from:

<http://www.fppc.ca.gov/index.html?id=234>

## FORM 501- CANDIDATE INTENTION STATEMENT

### Who Files:

Any candidates or officeholder prior to soliciting or receiving any contribution, or expenditure of any personal funds used for the election. You must file a separate Form 501 for each election, including reelection to the same office.

### Where to File:

File with the filing officer who will receive your original campaign disclosure statements. Generally the city clerk

### When to File:

File the Form 501 before you solicit or receive any contributions or before you make expenditures from personal funds on behalf of your candidacy. This form is considered filed the date it is postmarked or hand delivered.

### How to Complete:

All candidates: Complete Parts 1 and 3.

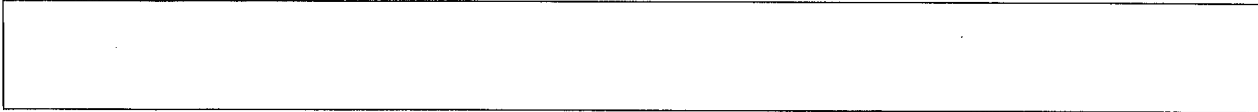
### Part 1. Candidate Information

- Enter your name and street address.
- Enter the title of the office sought, agency name and district number if any (e.g., City Council member, City of Smalltown, Dist. 5), and political party affiliation, if seeking a partisan office.
- Check the appropriate box regarding the office's jurisdiction.

### Part 3. Verification

Sign and date the form in ink. An unsigned statement is not considered filed.

This form was prepared by the Fair Political Practices Commission (FPPC). For detailed information on campaign reporting requirements and the Information Practices Act of 1977, see the FPPC Campaign Disclosure Manual (available from your filing officer or the FPPC). Campaign filing deadlines, forms, and other informational materials are available on the FPPC website ([www.fppc.ca.gov](http://www.fppc.ca.gov)).



## FORM 410 - STATEMENT OF ORGANIZATION RECIPIENT COMMITTEE

**Who Files:**

All persons (including candidates) who receive contributions (including candidates using personal funds) of \$1,000 or more during a calendar year.

**Where to File:**

**All Committees:** Original and one copy Secretary of State

Political Reform Division 1500 11th Street, Rm 495, Sacramento, CA 95814

**County & City Committees:** Also file a copy with local filing officer who will receive the original campaign statements

**When to File:**

File the Form 410 within 10 days of receiving \$1,000 in contributions.

**How to Complete:**

Complete all sections applicable to your committee. Failure to provide all required information will result in rejection of the Form 410 and may put you in violation of the Act. After filing the Form 410, access the committee's ID number at [www.sos.ca.gov](http://www.sos.ca.gov).

**Amendment:**

If any of the information reported on an initial statement of organization changes:

- Mark the amendment box;
- Include the committee's ID number and name;
- Provide the changed information; and
- Complete the verification.

**Termination:**

List the committee's identification number and indicate the date of termination.

**Part 1 Committee Information:**

Provide the full name of the committee. A committee may use only one name. (last name, office sought, year of election).

**Part 2 Treasurer and Other Principal Officers:**

The committee may have only one treasurer and one assistant treasurer. A candidate may be his or her own treasurer or assistant treasurer. A committee may not accept a contribution or make an expenditure without a treasurer.

**Part 3 Verification:**

The committee treasurer or assistant treasurer must sign the Form 410.

**Part 4 Type of Committee:**

A committee must complete each applicable section.

## FORM 460 - RECIPIENT COMMITTEE CAMPAIGN STATEMENT

### Who files:

All Candidates, Officeholders and Their Controlled Committees

### Use the Form 460 to file any of the following:

- Pre-election Statement
- Semi-annual Statement
- Quarterly Statement
- Special Odd-Year Report
- Supplemental Pre-election Statement
- Termination Statement
- Amendment to a previously filed statement

### Where to File:

- Statewide candidates and officeholders, Supreme Court justices, state ballot measure committees, and other committees that support or oppose state candidates and ballot measures, or that support or oppose candidates and ballot measures in more than one county, file with:

#### Secretary of State

(original and one copy) Political Reform Division 1500 11th Street, Room 495 Sacramento, CA 95814 Phone (916) 653-6224 Fax (916) 653-5045 [www.ss.ca.gov](http://www.ss.ca.gov)

#### Registrar-Recorder of Los Angeles County

(two copies) Campaign Finance Disclosure Section 12400 Imperial Highway Norwalk, CA 90650 Phone (562) 462-2339 Fax (562) 651-2548 [www.co.la.ca.us/regrec/main.htm](http://www.co.la.ca.us/regrec/main.htm)

### How to Complete:

#### Period Covered by a Statement:

The "period covered" by a campaign statement begins the day after the closing date of the last campaign statement you filed. For example, if the closing date of the last statement was September 30, the beginning date of the next statement will be October 1. The closing date of the statement depends on the type of statement you are filing.

#### Type of Statement:

Check the appropriate box(es) to indicate the type of statement you are filing (or amending).

**Amendments:** If you are filing an amendment to a previously filed statement, give a brief explanation of the amendment and list the schedules being amended.

#### Verification:

The statement must be signed by the committee treasurer or the assistant treasurer named on the committee's Statement of Organization (Form 410).

#### Additional Important Information:

Refer to the FPPC Campaign Disclosure Manual for your type of committee for information about:

- When, where, and what type of statements the committee is required to file.
- Closing date of campaign statements.
- Sponsored committee criteria.
- Termination criteria.
- Recordkeeping requirements and prohibitions.

## FORM 470 - OFFICEHOLDER AND CANDIDATE CAMPAIGN STATEMENT

### **Who files:**

Form 470 is for use by officeholders and candidates who:

- do not have a controlled committee;
- do not anticipate receiving contributions totaling \$1,000 or more during the calendar year; and
- do not anticipate spending \$1,000 or more during the calendar year.

### **When to file:**

If the Form 470 is filed in connection with an election, or on or before the filing deadline for the first campaign statement required for the calendar year, no additional campaign statements need be filed for that calendar year as long as total contributions received remain less than \$1,000 and total expenditures made remain less than \$1,000.

In most cases, July 31 is the filing deadline for the first campaign statement required to be filed by officeholders and candidates not being voted upon.

The period covered is always the calendar year (January 1 through December 31).

### **Where to File:**

- Secretary of State's Office;
- Local filing officer with whom the officeholder/candidate is required to file the originals of his/her campaign statements; and
- Each candidate seeking the same office.

## FORM 496 - INDEPENDENT EXPENDITURE REPORT FOR NON-ELECTRONIC FILERS

### Who files:

For use by all local candidates and committees and all state candidates and committees not required to file electronically with the Secretary of State.

### 16-Day Late Independent Expenditures Made

- Independent expenditures that cumulatively total **\$1,000 or more** to support or oppose a single candidate or a single ballot measure during the 16 days immediately preceding the election in which the candidate or measure will be voted on must be reported as **late independent expenditures**.
- File Form 496 within 24 hours of making the independent expenditure(s) with the filing officer(s) who would receive your campaign statements if you were a committee primarily formed to support or oppose the candidate or ballot measure.
- File Form 496 by fax, guaranteed overnight delivery, or personal delivery. **Regular mail may not be used.** Local ordinance also may require this form to be filed electronically.
- **Candidates:** This form is not required for expenditures supporting your election that are made from your controlled election committee, including expenditures opposing an opponent.

### How to Complete:

**Part 1. Candidate or Measure.** Identify the Candidate or ballot measure supported or opposed. Be sure to include the candidate's district number (if any) or the letter or number of the ballot measure. Use a separate form for each candidate or measure. (Example: A committee makes an independent expenditure by running an advertisement opposing two candidates. The ad costs \$4,000 and features the candidates equally. The committee must file a separate late independent expenditure report for each candidate and disclose \$2,000 for each candidate.)

**Part 2. Independent Expenditures.** Provide the date, amount and a description of the independent expenditure made (e.g., radio advertisement, billboard, mailing).

**Part 3. Contributions Received.** Disclose contributions of \$100 or more received since the closing date of your last campaign statement (Form 450 or 460) through the date of the independent expenditure. If no previous campaign statement has been filed, disclose contributions of \$100 or more received since January 1 of the current calendar year. Disclose the name and address of the contributor and, if the contributor is an individual, his or her occupation and the name of his or her employer. If the contributor is self-employed, disclose the name of the business. Also disclose the date and amount of the contribution, the contributor code, and type of contribution. Enter the interest rate if the contribution is a loan.

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## FORM 700 - STATEMENT OF ECONOMIC INTERESTS

### **Who files:**

- Elected and appointed officials and candidates listed in Government Code Section 87200.
- Employees and appointed officials filing pursuant to a conflict-of-interest code. 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 (for example, 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.

### **Where to file:**

City offices = City Clerk's Office

### **How to file:**

A Form 700 should be provided to you by your filing official. An interactive version of the Form 700 is available on our website at [www.fppc.ca.gov](http://www.fppc.ca.gov).

You only have to report investments and business positions in business entities, real property, and income from sources that are located in or doing business in your agency's jurisdiction. However, reportable gifts must be disclosed regardless of the jurisdiction.

### **When to file:**

#### **Annual Statements**

#### **March 2, 2009**

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

#### **April 1, 2009**

- Most other filers

#### **Assuming, Leaving, and Initial 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.

#### **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.