



FPPC

(Fair Political Practices Commission)

Financial Disclosure Guide

**San Joaquin County
Registrar of Voters
44 N San Joaquin Street
Suite 350
Stockton, CA 95202
209-468-8945**

CAMPAIGN DISCLOSURE INFORMATION

The Political Reform Act of 1974, as amended, **requires all candidates** for elective office, all elected officeholders, and all committees supporting or opposing candidates, measures, and petition circulation drives to file campaign disclosure statements disclosing contributions received and expenditures made. Before any funds are solicited or any contributions (*including loans*) are received, a special campaign bank account must be established and FPPC (Fair Political Practices Commission) Form 501 (Candidate Intention Statement) must be filed with the Secretary of State's Political Reform Division. Candidates raising and/or spending \$2,000 or more must file FPPC Form 410 (Statement of Organization) with the Secretary of State's Political Reform Division and the local filing official, to disclose campaign bank account information and to receive a campaign committee identification number. **(Along with a \$50.00 check made payable to the Secretary of State.)**

PLEASE NOTE:

The information provided in this booklet is only a guideline to the FPPC filing process. We suggest consulting an accountant or legal assistance to assist in the filing of financial information as a candidate or committee.

Candidates for local offices who anticipate soliciting or receiving any contributions or making any expenditure, including use of personal funds, must file FPPC Form 501 with San Joaquin County Registrar of Voters Office. For quick access and ease of filing forms, we suggest using electronic filing which is accessible via the public access portal on the San Joaquin County Registrar of Voters website at www.sjcrov.org.

If you do not receive any contributions, and the only expenditures from your personal funds are for the filing fee and/or a candidate's statement, you do not have to file FPPC Forms 501 and 410.

You may start a Campaign Committee as early as you wish before the election. Remember, **PRIOR** to solicitation or receipt of any contribution or loan, any individual who intends to be a candidate for an elective office **shall**:

- (a) **File CANDIDATES INTENTION Form 501** with the Secretary of State Political Reform Division for State Candidates. *Local Candidates file Form 501 with the County Registrar of Voters.*
- (b) **File STATEMENT OF ORGANIZATION Form 410** with the Secretary of State's Office and the Registrar of Voters Office within 10 days of receiving \$2,000 in contributions. File Form 410 within 10 days of establishing a **campaign contribution bank account** in a financial institution located in California.
- (c) **File RECIPIENT COMMITTEE CAMPAIGN STATEMENT Form 460** *must* be filed if a candidate, officeholder or committee will raise or spend or will raise or spend \$2,000 or more in a calendar year.

Candidate Intention Statements and Campaign Bank Accounts

All candidates for state offices are required to file a Candidate Intention Statement, FPPC Form 501, with the Secretary of State's Political Reform Division before they solicit or receive any contributions. (See "PLEASE NOTE:" above regarding candidates for local offices.) "Contributions" include loans and the use of the candidate's personal funds for the campaign. FPPC Form 501 is not required if the candidate does not solicit or receive any contributions, and the only expenditures will be from the candidate's personal funds for a filing fee and/or a candidate's statement that will appear in the Sample Official Ballot Booklet.

A candidate who does not receive contributions from other persons and/or committees and whose total campaign expenditures from personal funds is less than \$2,000 in a calendar year **is not required to establish a special campaign bank account.** For purposes of calculating the \$2,000 threshold, personal funds used to pay candidate filing fees and candidate statement fees may be excluded.

A candidate who will receive contributions and/or spend \$2,000 or more from personal funds may pay candidate filing fees and fees for a candidate's statement from personal funds prior to establishing the special campaign bank account.

San Joaquin County does not have any contribution limits.

IMPORTANT!

When the election is over, remember that your responsibilities as a Candidate or Treasurer are not yet finished. Future activities depend on whether you won or lost. But all candidates – successful and unsuccessful – must continue filing campaign statements until the committee is terminated.

How Cybersecurity Affects Candidates and Campaigns

(Information provided in part by the Multi-State Information Sharing and Analysis Center)

Electronically maintained data as mandated for all states by the federal Help America Vote Act (HAVA), poses unavoidable privacy risks when people register to vote. Personal information, such as date and place of birth and current residence, can be used by identity thieves, hackers and bad actors. Such confidential information is available to candidates and campaigns under EC §2194. Consider how much of your personal/voter information is stored either on your own computer or on someone else's system. How is that data and the systems on which that data resides kept secure? How is that data transmitted securely?

There are three core principles of cyber security: *Confidentiality, Integrity and Availability*.

Confidentiality: Information which is sensitive or confidential must remain protected and be shared only with appropriate users. Think of voter data as you would medical information in the healthcare environment.

Integrity: Information must retain its integrity and not be altered from its original state.

Availability: Information and systems must be available to those who need it and those authorized to use it.

For example voter data should be released by the registrar only to those people or political organizations authorized to see it (confidentiality); the records should be well protected so that no one can change the information without authorization (integrity); and the voter's information should be available and accessible to authorized users (availability).

Type of threats:

The increasing volume and sophistication of cybersecurity threats, (i.e. targeting phishing scams, data theft, and other online vulnerabilities), demand that candidates and campaigns remain vigilant about securing their systems and information.

The average unprotected computer (i.e. does not have proper security controls in place) connected to the Internet can be compromised in seconds. Thousands of infected web pages are being discovered every day. Hundreds of millions of records have been involved in data breaches. New attack methods are launched continuously and targeted at campaigns, voting and elections.

1. Denial-of service:

Refers to an attack that successfully prevents or impairs the authorized functionality of networks, systems or applications by exhausting resources. This can affect voter's ability to access information quickly and accurately.

2. Social Engineering, Phishing and Spear-Phishing:

Almost every type of attack contains some kind of social engineering. The classic email "phishing" and virus scams, for example, are laden with social overtones. Phishing emails attempt to convince users they are in fact from legitimate sources, in the hopes of procuring even a small bit of personal or company data. Emails that contain virus-filled attachments, meanwhile, often claim to be from trusted contacts or offer media content that seems harmless, such as "funny" or "cute" videos. Some attacks rely on actual communication between attackers and victims, here the attacker convinces the user to grant access. Many people do not realize that with only a few pieces of information – name, date of birth, or address – hackers can gain access to data by masquerading as legitimate users. From there it is easy to reset passwords and gain almost unlimited access.

3. "Scareware" –fake security software warning:

This type of scam can be particularly profitable for cyber criminals, as many users believe the pop-up warnings telling them their system is infected, are lured into downloading and paying for the special software to "protect" their system. Your vigilance in updating security software *must* include verifying the source!

4. Ransomware:

Ransomware is a type of malware that prevents you from using your computer or accessing certain files unless you pay a ransom. It often encrypts files so that they cannot be opened.

Ransomware is often distributed as a trojan or malware disguised as a legitimate file. Once installed, it may lock your computer and display a "lock screen" with a message saying you must pay a ransom to regain use of your computer. Some ransomware may allow you to use your computer, but will prevent you from opening certain files. You may see a message or alert box stating your files are being held for ransom and you must pay a fee to regain access to them.

The best way to deal with ransomware is to prevent it. Don't open unknown files or downloads from untrusted websites.

5. Social Network Attacks, Disinformation and Misinformation:

Social network attacks are major sources of attacks due to of the volume of users and the amount of personal information that is posted. User's inherent trust in their online friends is what makes these platforms a prime target. For example, users may be prompted to follow a link on someone's page, which could bring users to malicious website or provide inaccurate information.

Disinformation and Misinformation is information warfare which is an attack on intellectual infrastructure, on people themselves, on society, and on systems of information and belief. Inaccurate but persuasive news about politics regularly appears in our daily lives. The goal is not to fool people into believing any one lie. It's to overwhelm individuals' ability to determine what's true. Directing voters to a trusted source of up to date and accurate information is key to helping voters.

6. Malware, Worms and Trojan horses:

These spread by email, instant messaging, malicious websites and infected non-malicious websites. Some websites will automatically download the malware without the user's knowledge or intervention. This is known as a "drive-by download." Other methods will require the users to click on a link or button.

7. Botnet and zombies:

A *botnet*, short for *robot network*, is an aggregation of compromised computers that are connected to a central "controller." The compromised computers are often referred to as "zombies." These threats will continue to proliferate as the attack techniques evolve and become available to a broader audience, with less technical knowledge required to launch successful attacks. Botnets designed to steal data are improving their encryption capabilities and thus becoming more difficult to detect.

What can you do?

- Properly configure and patch operation systems, browsers, and other software programs. Use resources that are available to you such as Customer Service from your software provider or company brand.
- Use and regularly update firewalls, anti-virus, and anti-spyware programs. (Did you know that some update reminders that pop up are sometimes spoofs?)
- Use strong passwords (combination of upper and lower case letters, numbers and special characters).
- Be cautious about all communications, especially links in emails. Do not click on links even if you know the sender. They could have been hacked and emailed spoofed. Go to the website yourself by typing in the link with your browser.
- Allow access to systems and data to only those who need it, and protect those access credentials. Always use the principle of least access and permissions.
- Consider using a dedicated system to store data rather than risking data security on systems you have no control over or are not monitored by you.

You are responsible and accountable for the security of the data provided to you by elections officials.

FORM 501

Candidate Intention Statement

FORM 501: Who, When and Where to file?

Who files:

A candidate for state or local office *must* file this form for each election, including reelection to the same office. **Exception:** Candidates for county central committee that *do not* raise or spend \$2,000 or more in a calendar year are *not* required to file a Form 501.

Bank Account:

A separate bank account *must* be established including for campaigns that are self-funded by the candidate. A bank account is *not* required if a candidate will *not* receive any contributions or make personal expenditures of less than \$2,000 in a calendar year. The filing and statement of qualification fees are *not* included in calculating the \$2,000.

When to file:

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

How to File: To file electronically, please go to the San Joaquin County Registrar of Voters Website at: www.sjcrov.org under Candidates & Campaigns, campaign finance disclosure and access the Filer Access Portal.

The Form 501 *must* be signed by the candidate. It is not considered filed if it is not signed.

***To ensure campaign deadlines are met, go to www.fppc.ca.gov for most campaign disclosure filing schedules or check with your local filing officer.

Where to file: State Candidates (including Judges): Secretary of State
Political Reform Division
1500 11th Street, Room 495
Sacramento, CA 95814
Phone: (916) 653-6224
www.sos.ca.gov

Local Candidates: San Joaquin Registrar of Voters Office
Candidate & Campaign Filing Section
44 N. San Joaquin St., Suite 350
Stockton, CA 95202
Phone: (209) 468-8945

or mail to:

P. O. Box 810
Stockton, CA 95297

Also for additional instructions on filling out forms please go to www.fppc.ca.gov.

FORM 410

Statement of Organization

FORM 410: Who, When and Where to file?

Who files:

Candidates and Office holders – candidates and office holders (incumbents)
Recipient Committees - candidates and office holders, organizations, groups, or other entities
Multipurpose Organizations – nonprofits, federal or out-of-state PAC (political action committee)

What to file:

Candidate: *If* personal funds are used to seek or hold an elective office are contributions and count toward qualifying as a recipient committee. However, personal funds are used to pay a candidate filing fee or a fee for the statement of qualifications to appear in the ballot pamphlet ***do not count*** toward the \$2,000 threshold. To obtain a committee ID number, please send a check issued to the California Secretary of State's Office along with the Form 410 and mail to the address below. For additional instructions please go to the FPPC website www.fppc.ca.gov.

When to file:

1. Initial: Mark the "initial" box and enter date the committee qualification threshold was met.
 - a. *If* the committee has not met the qualification threshold, mark the "initial" and "Not yet Qualified" boxes.
2. 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.

Candidates: Under certain circumstances, a candidate for local office may amend the Form 410 to indicate that he or she is seeking re-election to the same office. A candidate running for state office ***must*** open a separate committee for each term of office and may ***not*** amend the Form 410 to re-designate an election committee.

Termination: List the committee's name, identification number and indicate the date of termination, including completing the verification.

Where to file:

All Committees: Form 410 with original ink signature(s): Secretary of State
Political Reform Division
1500 11th Street, Rm 495
Sacramento, CA 95814

County and City Committees: Also file a copy with the local filing officer who will receive the original campaign statements. To electronically file, we suggest using the San Joaquin County Registrar of Voters Office website: www.sjcrov.org under Candidates & Campaigns, campaign finance disclosure and access the Filer Access Portal.

The Secretary of State's office may reject the filing of a Form 410 *if* the committee's e-mail address is ***not included.

**Statement of Organization
Recipient Committee**

CALIFORNIA 410
FORM
For Official Use Only

Date Stamp

Statement Type

Initial
 Not yet qualified
 or
 Date qualification threshold met

Amendment
 Date qualification threshold met

Termination – See Part 5
 Date of termination

1. Committee Information I.D. Number (if applicable)

NAME OF COMMITTEE

NAME OF TREASURER

STREET ADDRESS (NO P.O. BOX)

CITY STATE ZIP CODE AREA CODE/PHONE

CITY STATE ZIP CODE AREA CODE/PHONE

NAME OF ASSISTANT TREASURER, IF ANY

STREET ADDRESS (NO P.O. BOX)

CITY STATE ZIP CODE AREA CODE/PHONE

FULL MAILING ADDRESS (IF DIFFERENT)

CITY STATE ZIP CODE AREA CODE/PHONE

E-MAIL ADDRESS (REQUIRED) / FAX (OPTIONAL)

CITY STATE ZIP CODE AREA CODE/PHONE

COUNTY OF DOMICILE JURISDICTION WHERE COMMITTEE IS ACTIVE

STREET ADDRESS (NO P.O. BOX)

CITY STATE ZIP CODE AREA CODE/PHONE

CITY STATE ZIP CODE AREA CODE/PHONE

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 _____ By _____
 DATE SIGNATURE OF TREASURER OR ASSISTANT TREASURER

Executed on _____ By _____
 DATE SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROponent

Executed on _____ By _____
 DATE SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROponent

Executed on _____ By _____
 DATE SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROponent

FORM 460

Recipient Committee
Campaign Statement

FORM 460: Who, When and Where to file?

Who files:

For use by all recipient committees, including:

Candidates, Officeholders and Their Controlled Committees:

A candidate or officeholder who has a controlled committee, or who has raised or spent or will raise or spend \$2,000 or **more** during a calendar in connection with election to office or holding office. Form 460 is also required if \$2,000 or more will be raised or spent during the calendar year at the behest of the officeholder or candidate.

Primarily Formed Ballot Measure Committees:

A person, entity, or organization that receives contributions totaling \$2,000 or more during a calendar year for the primary purpose of supporting or opposing the qualification, passage, or defeat of a single ballot measure or two or more measures being voted on in the same city, county, multi-county or state election.

Primarily Formed Candidate/Officeholder Committees:

A person, entity, or organization that receives contributions totaling \$2,000 or more during a calendar year to support or oppose a single candidate or officeholder, or two or more candidates or officeholders who are being voted upon in the same city, county, or multi-county election. This type of committee is not controlled by the candidate(s) or officeholder(s).

General Purpose Committees:

A person, entity, or organization that receives contributions totaling \$2,000 or more during a calendar year to support or oppose various candidates and measures (e.g., political action committees).

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

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

Where to file: In general, state committees file with the Secretary of State and local committees file with the filing officer of the local jurisdiction.

Candidate/Officeholder/Primarily Formed Committees:	Where to File:	What to File:
City Offices	City Clerk	Original and one copy
County Offices	County Elections Offices	Original and one copy
Multi-County Offices (Local agencies with jurisdiction in more than one county)	County with the largest number of registered voters in the jurisdiction or County of Domicile, if different	Original and one copy One copy
Judges and Judicial Candidates	Electronic Filers: Secretary of State Non-Electronic Filers: Secretary of State County of Domicile	Electronically and one copy Original and one copy One copy

***For additional information and detailed instructions on Form 460, please go to: www.fppc.ca.gov.

Recipient Committee Campaign Statement Cover Page

COVER PAGE

CALIFORNIA
FORM
460

Date Stamp
Page _____ of _____
For Official Use Only

Date of election if applicable:
(Month, Day, Year)

Statement covers period
from _____ through _____

SEE INSTRUCTIONS ON REVERSE

1. Type of Recipient Committee: All Committees - Complete Parts 1, 2, 3, and 4.

- Officeholder, Candidate Controlled Committee
 State Candidate Election Committee
 Recall
(Also Complete Part 5)
- General Purpose Committee
 Sponsored
 Small Contributor Committee
 Political Party/Central Committee
- Primarily Formed Ballot Measure Committee
 Controlled
 Sponsored
(Also Complete Part 6)
- Primarily Formed Candidate/Officeholder Committee
(Also Complete Part 7)

2. Type of Statement:

- Preelection Statement
 Semi-annual Statement
 Termination Statement
(Also file a Form 410 Termination)
 Amendment (Explain below)
- Quarterly Statement
 Special Odd-Year Report

3. Committee Information

I.D. NUMBER

Treasurer(s)

COMMITTEE NAME (OR CANDIDATE'S NAME IF NO COMMITTEE)

NAME OF TREASURER

STREET ADDRESS (NO P.O. BOX)

MAILING ADDRESS

CITY

CITY

STATE ZIP CODE

STATE ZIP CODE

AREA CODE/PHONE

AREA CODE/PHONE

MAILING ADDRESS (IF DIFFERENT) NO. AND STREET OR P.O. BOX

MAILING ADDRESS

CITY

CITY

STATE ZIP CODE

STATE ZIP CODE

AREA CODE/PHONE

AREA CODE/PHONE

OPTIONAL: FAX / E-MAIL ADDRESS

OPTIONAL: FAX / E-MAIL ADDRESS

4. Verification

I have used all reasonable diligence in preparing and reviewing this statement and to the best of my knowledge the information contained herein and in the attached schedules 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 _____ Date _____
 Executed on _____ Date _____
 Executed on _____ Date _____
 Executed on _____ Date _____

By _____ Signature of Treasurer or Assistant Treasurer
 By _____ Signature of Controlling Officeholder, Candidate, State Measure Proponent or Responsible Officer of Sponsor
 By _____ Signature of Controlling Officeholder, Candidate, State Measure Proponent
 By _____ Signature of Controlling Officeholder, Candidate, State Measure Proponent

