



San Jose Arena Authority

**Regular Meeting of the Board of Directors
Solar4America Ice at San Jose
1500 South Tenth Street
San Jose, CA
February 27, 2019
4:00 pm**

Agenda

Expected Board Attendees

Matthew Bright	Carl Honaker
Scott Bruner	Nicole Inamine
David Buchholz	John Kennett
Jonathan Clough	Colleen Reilly
Eileen Consiglio	Kathy Sutherland
Devora Davis	Eva Terrazas
Maya Esparza	Vinni Walia
Loren Haley	Rusty Weekes
Leslee Hamilton	

Staff

Chris Morrissey (Executive Director)
Shelly Wang (Administrative Assistant)
Elizabeth Klotz (Deputy City Attorney)

Guests

Rich Sotelo (Sharks Sports & Entertainment)
Jon Gustafson (Solar4America Ice at San Jose)

1. Call to Order/Roll Call/Introductions

2. General Business

- a. Welcome New City Council Representative Maya Esparza to the Arena Authority Board
- b. Presentation of the Annual Summary of Activities at Solar4America Ice at San Jose
- c. Presentation on City Form 700 and Family Gift Report Filings (Klotz)
- d. Review and Approve the December 2018 Annual Board Meeting Minutes

3. Executive Director and Staff Reports

3.1. Executive Director (Morrissey)

- a. Accept Reports on Arena Authority Oversight
 - SAP Center at San Jose (Morrissey and Klotz)
 - Solar4America Ice at San Jose (Verbal)
 - San Jose Municipal Stadium (Verbal)
- b. Accept Verbal Reports on Arena Authority Administrative Issues
 - VTA/BART Downtown/Diridon Community Working Group (CWG)
 - Emergency Resources Network (ERN)
 - South Campus Operations Team (SCOT)
 - City of San Jose Emergency Resources Council (SJERC)

3.2. Administrative Assistant (Wang)

- a. Accept Report on Recent and Upcoming Events at SAP Center at San Jose
- b. Accept Verbal Report on Activities at Solar4America Ice at San Jose

4. Committee Reports

- 4.1. *Standing Executive Committee (Chair: Hamilton)*
 - a. Accept Verbal Reports on the City / Arena Authority Restated Agreement and City Funding Discussions
- 4.2. *Standing Finance Committee (Chair: Bright)*
 - a. Review and Approve October, November and December 2018 Financial Statements
- 4.3. *Standing San Jose Sports Hall of Fame Committee (Chair: Reilly)*
 - a. Accept Verbal Report on the 2019 San Jose Sports Hall of Fame Program
- 4.4. *Standing Facilities Committee (Co-Chairs: Buchholz, Clough)*
 - a. Accept Verbal Reports on Fiscal Year 2019-20 Capital Budget Preparations for SAP Center at San Jose and Solar4America Ice at San Jose
 - b. Accept Verbal Report on the Submittal of the Annual Summary of Activities at Solar4America Ice at San Jose
- 4.5. *Standing San Jose Municipal Stadium Committee (Co-Chairs: Honaker, Kennett)*
 - a. Accept Verbal Report on Fiscal Year 2019-20 Capital Budget Preparation for San Jose Municipal Stadium
- 4.6. *Ad Hoc Board Recruitment Committee (Chair: Sutherland)*
 - a. Accept Verbal Report on Current Board Vacancies
- 4.7. *Standing Community Programs Committee (Co-Chairs: Bright, Terrazas)*
 - a. Accept Report on Recent Program Activity
 - b. Review and Approve City and Community Events Program Applicant:
 - San Jose Sharks Foundation

5. Open Forum

6. Adjournment

All public records relating to an open session on this agenda, which are not exempt from disclosure pursuant to the California Public Records Act, that are distributed to a majority of the legislative body will be available for public inspection at the office of the San Jose Arena Authority, SAP Center at San Jose, 525 W. Santa Clara Street, San Jose CA 95113 at the same time that the public records are distributed or made available to the legislative body.

To request an accommodation or alternative format for City-sponsored meetings, events or printed materials, please contact the San Jose Arena Authority at 408-977-4780 or 408-977-4779 (TTY) or contact wang@sjaa.com as soon as possible but at least three business days before the meeting/event.

February 5, 2019

COUNCIL AGENDA: 1/15/2019

ITEM: 2.10



Memorandum

TO: CITY COUNCIL

FROM: Mayor Sam Liccardo

SUBJECT: CITY COUNCIL
COMMITTEE, BOARD AND
COMMISSION
APPOINTMENTS

DATE: January 10, 2019

APPROVED: 

DATE: 1/10/19

RECOMMENDATION

1. Apprise the Council of the Mayor's Appointments for each of the standing committees, as described in Exhibit "A" of this Memorandum.
2. Appoint the following Councilmembers to each of the committees and assignments, as described in Exhibit "B" of this Memorandum.

DISCUSSION

With the attached recommended Council appointments, I am also recommending two additional changes to commissions and committees.

First, in light of the severity of our housing crisis, I've sought to re-cast the Ad Hoc Development Services Committee as the Ad Hoc Housing Construction and Development Services Committee. While all development services will continue to remain within the committee's purview, there will be particular emphasis given to housing starts, and whatever policies or management practices need attention to substantially boost housing production to meet our goals. I recommend that Councilmember Magdalena Carrasco chair this committee.

Second, I recommend the creation of a "Monterey Corridor Working Group" led by Councilmembers Maya Esparza and Sergio Jimenez. This working group will focus on many pending issues relevant to communities along Monterey Road, about which each councilmember is acutely aware, including High Speed Rail alignment, the impacts of additional CalTrain service, land use changes (i.e., through the General Plan's 4- year review) that might enable greater densification and redevelopment in the corridor, the redevelopment of the County Fairgrounds, and homelessness. Staff will work with the Councilmembers and the Mayor's office to seek resources—such as with Metropolitan Transportation Commission planning grants—to further the

working group's and Council's goals. The working group will fashion a 2-year workplan with City staff, which should include submission of a proposed project providing enhanced transit service—such as autonomous bus-rapid-transit—for inclusion in the VTA's 2045 Valley Transportation Plan, so that planning and funding can proceed. City staff should invite relevant stakeholders—including CHSRA, VTA, UP, and CalTrain—to the working group meetings, and notice should be provided to nearby neighborhoods through low-cost (NextDoor, email) means. The working group will meet in public quarterly or at some other interval agreeable to staff and the Council.

With those changes, I respectfully submit my recommendations for Council consideration.

EXHIBIT A

2019 City Council Standing Committee & AD-HOC Committee Appointments

	Chair	Vice Chair	Member	Member	Member
Rules & Open Government Committee	Liccardo	Jones	Arenas	Khamis	Davis
Public Safety, Finance, & Strategy Support	Perez	Jimenez	Carrasco	Jones	Arenas
Transportation & Environment	Davis	Perez	Esparza	Diep	Arenas
Community & Economic Development	Khamis	Foley	Diep	Perez	Esparza
Neighborhood Services & Education	Arenas	Carrasco	Esparza	Foley	Jimenez
Smart City and Innovation	Diep	Jones	Davis	Liccardo	Jimenez
AD-HOC Committee for Housing Construction & Development Services	Carrasco	Esparza	Davis	Perez	Foley

EXHIBIT B

2019 Council Appointments

Board, Commission or Committee	Position	Appointee
ABAG – Executive Board		Diep
ABAG – Executive Board		Esparza
ABAG – Executive Board		Peralez
ABAG – Executive Board	Alternate	Arenas
ABAG – Executive Board	Alternate	Foley
ABAG – Executive Board	Alternate	Jimenez
ABAG – General Assembly Delegate		Jimenez
Airport Commission	Liaison	Peralez
Appeals Hearing Board	Liaison	Foley
Arts Commission	Liaison	Carrasco
Bicycle and Pedestrian Advisory Committee	Liaison	Jimenez
Caltrain Centralized Equipment Maintenance & Operations Facilities Oversight Committee		Davis
Caltrain Joint Powers Board		Davis
Caltrain Local Policy Makers Group	Alternate	Jimenez
Citizen Corps Council	Chair	Esparza
Citizen Corps Council	Vice Chair	Foley
Civil Service Commission	Liaison	Khamis
Clean Energy Community Advisory Committee	Liaison	Jimenez
Deferred Compensation Advisory Committee	Liaison	Khamis
Destination: Home		Liccardo
Downtown Parking Board	Liaison	Peralez
Emergency Preparedness Council		Foley
Ethics Commission		Jones
Expressway Plan 2040 Project Advisory Board		Khamis
Federated Employees Retirement Board	Non-Voting Member	Davis
Grand Boulevard Initiative Task Force		Davis
Habitat Conservation Plan		Jimenez
Historic Landmarks Commission	Liaison	Davis
Housing and Community Development Advisory Commission	Liaison	Jimenez
Human Services Commission	Liaison	Arenas
Joint Venture Silicon Valley		Liccardo
League of California Cities		Jimenez
League of California Cities	Alternate	Esparza
League of California Cities – Women’s Caucus		Arenas
Library & Early Education Commission	Liaison	Arenas

Mayor's Gang Prevention Task Force	Chair	Liccardo
Mayor's Gang Prevention Task Force		Perales
Mayor's Gang Prevention Task Force		Carrasco
Mayor's Gang Prevention Task Force		Arenas
Metropolitan Transportation Commission		Liccardo
Monterey Corridor Working Group	Chair	Esparza
Monterey Corridor Working Group	Vice Chair	Jimenez
Neighborhoods Commission	Liaison	Jones
Parks and Recreation Commission	Liaison	Esparza
Planning Commission	Liaison	Jimenez
Police and Fire Retirement Board	Non-Voting Member	Foley
Police Athletic League Board		Esparza
Recycling and Waste Reduction Commission of Santa Clara County		Foley
Recycled Water Policy Advisory Committee		Diep
Recycled Water Policy Advisory Committee		Arenas
San José Arena Authority		Davis
San José Arena Authority		Esparza
San José Arena Authority	Mayor's Staff	Inamine
San José Sports Authority		Davis
San José Sports Authority		Jimenez
Santa Clara County Human Trafficking Commission (HTC)		Esparza
Santa Clara County Human Trafficking Commission (HTC)		Perales
Santa Clara County Cities Association		Jones
Santa Clara County Cities Association	Alternate	Diep
Santa Clara County Cities Association – Legislative Action Committee		Jones
Santa Clara County Cities Association – City Selection Committee		Jones
Santa Clara County Emergency Operational Area Council (formerly Emergency Preparedness Council)		Davis
Santa Clara County Emergency Operational Area Council (formerly Emergency Preparedness Council)		Esparza
Santa Clara County Fairgrounds Ad hoc Committee		Esparza
Santa Clara County Health Benefits Coalition		Carrasco
Santa Clara County Local Agency Formation (LAFCO)		Jimenez
Santa Clara County Local Agency Formation (LAFCO)	Alternate	Esparza
Santa Clara County Reentry Network Governance Team		Esparza
Santa Clara Valley Habitat Agency Governing Board		Esparza
Santa Clara Valley Habitat Agency Governing Board		Foley
Santa Clara Valley Habitat Agency Governing Board	Alternate	Carrasco

Santa Clara Valley Habitat Agency Governing Board	Alternate	Diep
Santa Clara Valley Habitat Agency Implementation Board		Esparza
Santa Clara Valley Habitat Agency Implementation Board	Alternate	Foley
Santa Clara Valley Habitat Agency Implementation Board (staff position)	Staff Alternate	Meenaxi Panakkal
Santa Clara Valley Habitat Agency Implementation Board	VT Representative	Diep
Santa Clara Valley Habitat Agency Implementation Board	VT Representative Alternate	Jones
Santa Clara Valley Transportation Authority Board		Liccardo
Santa Clara Valley Transportation Authority Board		Jones
Santa Clara Valley Transportation Authority Board		Peralez
Santa Clara Valley Transportation Authority Board		Diep
Santa Clara Valley Transportation Authority Board		Carrasco
Santa Clara Valley Transportation Authority Board	Alternate	Davis
Santa Clara VTA Board – Policy Advisory Committee		Jimenez
Santa Clara VTA Policy Advisory Board – Diridon Station		Peralez
Santa Clara VTA Policy Advisory Board – Diridon Station		Davis
Santa Clara VTA Policy Advisory Board – Eastridge to BART		Arenas
Santa Clara VTA Policy Advisory Board – Eastridge to BART		Carrasco
Santa Clara VTA Policy Advisory Board – El Camino Real Rapid Transit		Davis
Santa Clara VTA Policy Advisory Board – El Camino Real Rapid Transit	Alternate	Jones
Santa Clara VTA Policy Advisory Board – Silicon Valley Rapid Transit Corridor		Diep
Santa Clara VTA Policy Advisory Board – Silicon Valley Rapid Transit Corridor	Alternate	Peralez
Santa Clara VTA Policy Advisory Board – SR 85 Corridor		Khamis
Santa Clara Valley Water District – Water Commission (two year appt)		Foley
Santa Clara Valley Water District – Water Commission (two year appt)	Alternate	Romanow
Schools City Collaborative		Liccardo
Schools City Collaborative		Carrasco
Schools City Collaborative		Arenas
Senior Citizens Commission	Liaison	Khamis
SF Bay Area Regional Water System Financing Authority		Liccardo

SF Bay Area Water Supply and Conservation Agency		Liccardo
Silicon Valley Regional Interoperability Project		Foley
Silicon Valley Regional Interoperability Project		Jones
Silicon Valley Regional Interoperability Project	Alternate	Arenas
Silicon Valley Regional Interoperability Project	Alternate	Perales
SJ/SC Clean Water Financing Authority		Jones
SJ/SC Clean Water Financing Authority		Diep
SJ/SC Clean Water Financing Authority		Jimenez
SJ/SC Treatment Plant Advisory Committee		Diep
SJ/SC Treatment Plant Advisory Committee		Davis
SJ/SC Treatment Plant Advisory Committee		Liccardo
SJ/SC Treatment Plant Advisory Committee	Alternate	Esparza
Strategic Planning Advisory Board (Therapeutic Services)		Khamis
Team San José/Convention and Visitors Bureau	Liaison	Perales
West Valley Sanitation District – Sewer Advisory Board		Jones
Work2future Board		Jones
Youth Commission	Liaison	Carrasco
Veterans Affairs	Liaison	Khamis



MEMORANDUM

TO: Chris Morrissey
San Jose Arena Authority

FROM: Jon Gustafson

DATE: January 18, 2019

RE: 2017-2018 Solar4America Ice at San Jose Annual Report

Chris,

First off, to say we had an interesting summer is an understatement. We completed our massive retrofit of rinks 1-2 on time and reopened to rave reviews on August 27. If you were not aware, we encountered a significant challenge in which both rink areas were frozen to depths of 9 ft. Both areas had to be excavated to remove the frost, thawed, dried, and then recompact and reconstructed. All of which was unanticipated, yet we still finished the project near our planned completion date. Kudos to our partners and the City for working with us to achieve the outcome we all anticipated.

Please find the annual report for fiscal year 2017-2018 at Solar4America Ice at San Jose. The fiscal 2017-2018 year was unique because it was an Olympic year and we hosted the US Figure Skating Championships in San Jose. Different than the event in 2016 where all the competition was held at SAP Center, more than 50% of the competition was held at Solar4America Ice. A considerable undertaking especially during the holiday season break and operating on New Year's Eve and New Year's Day. Again, the event received rave reviews, our local kids did a great job representing our area and everyone around the country asked if they could get "one of these facilities" where they live.

We continue to excel in all areas of our business. We continue to gain national media recognition for our programming, events, and our facility. Our marketing message continues to evolve and finds new/return customers. This fiscal year we had 124,004 public skating customers.

Thanks to Chris for all his efforts. We continue to have strong relationships with all the "South Campus" stakeholders and kudos to Chris for bringing the group together. We have some very exciting things happening in our neighborhood and South Campus is becoming what we all hoped it would be, a world class recreational destination the City of San Jose can be proud of.

Hockey

Youth-in house hockey – Currently Solar4America Ice offers two separate seasons (winter/summer). We changed our in-house model to comply with the new ADM directive from USA Hockey. In 2013, we were named a “Model Club” by USA Hockey for our successes. In-house hockey is designed for pure development and the fun of the game. Last season, we had 40 teams (557 players) in our winter season. These programs offer participation twice weekly, one mid-week practice and one weekend game. Teams are picked by the hockey department to ensure parity. Ice times are based on age grouping. Traditionally, in-house hockey receives some of the most desirable ice time, due to the fact it is the feeder program for the Tier and Travel program.

Adult in-house hockey – Sharks Ice currently offers 11 different skill levels for our adult customers. We currently have the largest adult hockey program in the US and have been recognized by USA Hockey as being the largest for the past 8 years. In 17/18 we had 2788 adult players in San Jose.

Jr. Sharks Hockey Club –The Jr. Sharks Hockey Club is currently the largest amateur hockey club in California with 766 participants/families fielding 31 teams (21 boy’s teams/ 10 girl’s teams). The program consists of three levels, Tier AA/AAA, Travel A/B, and Girls/Women’s.

Girls/Women’s Hockey – Girls/women’s hockey has continued to grow here in the Bay Area and our Jr Sharks Girls/women’s program now has 206 participants. The number of participants has doubled in the past 5 years.

Sharks High School Hockey Program – Due to the popularity of our High School program, other venues in the area are now offering High School hockey. Furthermore, it has become so popular that USA Hockey now has a National Championship tournament dedicated to High School hockey. This is very encouraging for the future of our sport! Due to the rapid rise and future importance of the High School Program, we have hired a full time High School Hockey Coordinator. In 2017-2018 we had a total number of 70 high school teams with 495 participants.

Drop-in Hockey – Solar4America Ice offers drop in hockey every Monday – Friday from noon-1:30pm.

Figure Skating

Lesson Programming – Solar4America Ice has a thriving learn to skate program. Lesson series are offered quarterly and parents and participants have the choice to participate during the week or on weekends. We designate our best ice time to accommodate families and young children. Last season we had 5340 children and adults go through our lesson programs. Participation in this program is our indicator for future participants and growth. Recently Solar4America placed two women in the top 10 in the US in Senior Ladies skating (Karen Chen/Polina Edmunds).

Freestyle/Figure Skating – Solar4America Ice offers a large quantity of private ice for aspiring figure skaters in California. The ice time is usually Monday -Friday very early in the morning

(before school). Peninsula Figure Skating Club buys ice weekly for their members. Solar4America Ice is very fortunate to have nationally recognized coaches to attract and teach our figure skating patrons.

Dance Programming – Solar4America Ice is currently one of four sites in the United States that has a high-end Ice Dance Program. Headed up by Sergi and Marina Ponamaranko, couples from all over the world come to San Jose for instruction.

Public Skating - With the addition of the 4th rink, public session is offered daily. We had our best year to date in relations to number of participants for public session. We had **124,004** customers skate this fiscal year in our public session.

Other Programming

Curling - We are one of five ice rinks in Northern California that offers the sport of curling. We have the largest arena curling club in the United States. We have a thriving curling program and three curling leagues, one in San Jose, Fremont and Oakland. With the popularity of curling during the Olympics in 2014 and 2018, interest in the sport has exploded. Most of our corporate events now involve curling opposed to broomball due to its low-impact nature.

Speed Skater Session - Every Sunday morning Solar4America Ice offers 1.5 hours of ice to local speed skaters.

Ice Dance Session – For Ice Dancers only (very recreational) is offered Sunday mornings.

Community Programs-

Solar4America Ice Free Use Program – Solar4America offers to at risk school children from San Jose the ability to skate free during a school session. The children participate on public session ice. For 2017-2018, we had a total of 3,812 kids participated in this program, which translates to \$57,180.00 in donation. **Since the building has opened, we have provided \$1,697,952.50 to this program**

Solar4America Ice Special Needs Program – Every Friday, Solar4America makes 1.5 hrs. of ice for our special needs program. This program becomes more and popular from year to year. For the past two years we have had a waiting list for every session we have offered for special needs. As outlined prior, Solar4America Ice hosted the USA Hockey Disabled Festival in April 2017 and we which had over 700 athletes participate. Net profits from the event (\$14,000) was donated to the Sharks Foundation for a legacy program to grow special/sled hockey in the Bay Area.

Solar4America Ice Free Use Lessons- Every quarter, we give 12 scholarships for free lesson series to children within the community.

Home school Fridays - For a nominal fee (\$7/person), home school children and families can participate in the sport of ice-skating. We also hold home school lessons.

Economic Impacts-

It is important to note the Solar4America Ice continues to be a leader in the community regarding booking hotel rooms in San Jose. For the 2017-2018 fiscal year, we provided 5802 (4,835 provided by Room Roster plus 20% factor) hotel rooms to the City of San Jose. This did not include the US Figure Skating numbers which were significant. We continue to see over 1 million visitors per year.

Solar4America at San Jose, the Facility-

We are very proud of all the recent upgrades made to the facility as this allows us to be regarded as one of the top ice recreational facilities in North America.

Maintenance Expenditures -- In 2017-2018, Sharks Ice LLC spent the following dollars on the facility:

a. Labor	\$ 1,288,181 (custodians, leads, ice techs, and cashiers)
Labor -Engineers	\$ 29,607
b. Build Ground/Maint.	\$ 94,373 (landscape, parking lot, trash, fire etc.)
c. Zamboni Operation	\$ 59,252 (propane, maintenance)
d. HVAC	\$ 21,570 (maintenance and repair)
e. Electrical	\$ 14,333 (maintenance and repair)
f. Water Treatment	\$ 36,777
g. Plumbing	\$ 13,108
h. Ice Plant	\$ 78,291 (material/labor, includes cooling towers)

Mechanical/Capital Improvements approved for 2018-19

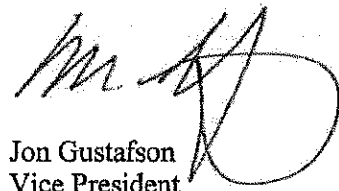
1.	Audio Visual	\$15,000	in process
2.	Dasher boards	\$25,000	completed
3.	Doors and Frames	\$70,000	completed
4.	Exterior Cleaning	\$10,000	not completed
5.	Fire systems	\$25,000	completed
5.	Door Hardware	\$17,609	completed
6.	Food Service Equipment	\$20,000	in progress
7.	Nets Graphics Edger	\$35,000	completed
8.	Hand rails	\$15,000	in progress
9.	Lighting Systems	\$295,000	completed
12.	Painting	\$32,000	completed
13.	Ice Chiller Plant	\$515,363	completed
14.	Plexi-glass	\$53,360	completed
15.	Zamboni	\$160,000	\$ used in lighting systems
16.	Entry remodel/PS/FS	\$385,000	completed
18.	Unanticipated Repairs	\$40,656	completed

Solar4America Ice at San Jose wish list

1. Expansion approval

In conclusions, we continue to make tremendous strides by making Solar4America Ice at San Jose one of the premier facilities in the country. I want to thank the Arena Authority Board for its continued support.

Respectfully submitted,



Jon Gustafson
Vice President
Sharks Ice LLC

JG: JG

[illegible]

YEAR TO DATE:	
General Admission	
Free use	
15% to Free Use	
Over (under)	

2017/2018	3812	\$ 67,180.00
2018/2017	5190	\$ 67,275.00
2019/2018	5197	\$ 59,765.50
2014/2015	1713	\$ 45,210.00
2013/2014	4080	\$ 48,828.00
2012/2013	3858	\$ 5,089.55
2011/2012	4779	\$ 54,944.00
2010/2011	4503	\$ 61,435.00
2009/2010	4296	\$ 66,272.00
2008/2009	6490	\$ 78,027.00
2007/2008	6923	\$ 87,987.00
2006/2007	8569	\$ 45,102.00
2005/2006	9161	\$ 51,835.00
2005	6769	\$ 83,338.90
2004	6789	\$ 87,762.00
2003	7894	\$ 78,878.00
2002	8548	\$ 85,513.00
2001	8726	\$ 1,588.00
2000	7920	\$ 87,986.00
1999	9324	\$ 80,935.00
1998	9885	\$ 82,849.00
1997	13596	\$ 87,894.00
1996	12870	\$ 87,500.50
1995	11950	\$ 86,965.00
1994	4025	\$ 27,330.00
		\$1,697,962.45



CITY OF SAN JOSÉ, CALIFORNIA

SJAA Board Meeting
February 27, 2019
Agenda Item 2.c.

Office of the City Clerk
200 East Santa Clara Street,
14th Floor
San José, California 95113
Telephone 1 (408) 535-1261 FAX
1 (408) 292-6207

ANNUAL FAMILY GIFT REPORTING FORM

Pursuant to the City's Gift Ordinance, Chapter 12.08 of the San Jose Municipal Code, all officers and designated employees of the City and its Successor Agency to the Redevelopment Agency must file this form with the City, together with the annual Statement of Economic Interests (Form 700).

You must list below any reportable gifts known to have been accepted by your domestic partner, spouse and any dependent child (Section 12.08.050) during the previous calendar year. Gifts that must be reported are those that would be prohibited had they been given to you. Refer to Section 12.08.010 and 12.08.020 to determine whether a particular gift must be reported. Section 12.08.030 lists the gifts that are not prohibited and do not need to be reported.

PLEASE TYPE OR PRINT IN INK

Name of Filer _____ Phone _____

Name of Agency _____

CHECK ONE

☐ To my knowledge there are no reportable gifts.

☐ The following are reportable gifts:

PLEASE LIST EACH GIFT SEPARATELY

DATE	RECIPIENT	GIFT	DONOR	VALUE

VERIFICATION

I have used all reasonable diligence in preparing this form, 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 _____, at _____
(Date) (City, State)

(Signature)

Annual Family Gift Reporting Form Instructions

& Chapter 12.08 of the San José Municipal Code

INSTRUCTIONS

Chapter 12.08 of the San José Municipal Code requires all officers and designated employees of the City of San José and its Successor Agency to the Redevelopment Agency to file this form with the City Clerk, together with the annual Statement of Economic Interests (SEI) (Form 700).

Reporting/Filing Requirements

The Family Gift Reporting Form (FGRF) becomes a public record as does the Statement of Economic Interest (Form 700). The FGRF is filed no later than April 1st with the SEI Annual Statement. This form must be completed whether or not you have any Gifts to report. **If you have nothing to report check the appropriate box on the form, enter the date executed, and sign the form.**

Chapter 12.08

Section 12.08.010 Gifts prohibited.

- A. No officer or designated employee of the city or its redevelopment agency shall accept any gift, directly or indirectly, from any person who is subject to the decision-making or recommending authority of such officer or employee, except as specifically provided in this chapter.
- B. "Person subject to the decision-making or recommending authority" means any individual, firm or entity whose interest or whose employer's or client's interest:
 - 1. Has been materially affected by the work of such officer or employee within the two years prior to the time the gift is given; or
 - 2. In the future could reasonably be foreseen to be materially affected by the work of such officer or employee.

Section 12.08.015 Political Reform Act requirements.

- A. The reporting and disclosure of gifts shall be done in accordance with the requirements of the Political Reform Act, California Government Code Section 81000 et seq., as amended, and the requirements in this chapter.
- B. The gift limitations and disqualification requirements under the political reform act are applicable to gifts which are not prohibited by this chapter.

Section 12.08.020 Gift defined.

"Gift" means a voluntary transfer of any thing, service, payment or value to the extent that legal consideration of equal or greater value is not received.

- A. As used in this chapter, the term "gift" includes:
 - 1. Any rebate or discount in the price of any thing of value unless the rebate or discount is made in the regular course of business to members of the public.
 - 2. An officer's or employee's community property interest, if any, in a gift received by that individual's spouse.
 - 3. The provision of travel, including transportation, accommodations and food, except as expressly permitted pursuant to Section 12.08.030.
- B. As used in this chapter, the term "gift" does not include:
 - 1. Campaign contributions which otherwise comply with Title 12 of the San José Municipal Code and which are required to be reported under Chapter 4 of the Political Reform Act of 1974 as amended.
 - 2. Any devise or inheritance.

Section 12.08.030 Gifts not prohibited.

This chapter does not prohibit those gifts which strictly fall within the exceptions enumerated herein:

- A. Gifts with a value **less than fifty dollars**: Gifts, including meals and beverages provided to an officer or employee in a business or social setting, that have a value **less than fifty dollars**, as long as the total value of all such gifts received from any one donor do **not exceed fifty dollars in any calendar year**.
- B. Informational material: Informational material such as books, reports, pamphlets, calendars, or periodicals or reimbursement for any such expenses. Informational material does not include provision of educational trips including transportation, accommodation and food.
- C. Hospitality: Gifts of hospitality involving food, beverages or occasional lodging provided to any officer or designated employee by an individual in such individual's primary residence.
- D. Reciprocal gifts: Gifts exchanged between any officer or designated employee and an individual, other than a lobbyist as defined in Chapter 12.12, on holidays, birthdays, baby showers, or similar occasions provided that the presents exchanged are not substantially disproportionate in value.

- E. Panels and seminars: Free admission, food, beverages, and similar nominal benefits provided to an officer or employee at an event at which the officer or employee speaks, participates in a panel or seminar or performs a similar service, and reimbursement or advance for actual intrastate travel or for necessary accommodations provided directly in connection with such event.
- F. Admission given by sponsor of an event: Admission to ceremonial, political, civic, cultural or community functions provided by a sponsor of the event for the personal use of the officer or employee. For example, cultural events include theatrical productions and art exhibits; political events include political fund raisers.
 - 1. Admission to regularly scheduled athletic events, such as tickets to professional sporting events, are not included as an exception to prohibited gifts.
 - 2. A sponsor of an event shall not include individuals, persons or organizations whose sponsorship of the event is solely limited to funding or monetary support such as the purchase of tickets.
- G. Employment interview - government employer: Transportation, accommodation, food and directly related expenses advanced or reimbursed by a governmental agency in connection with an employment interview, when the interview is conducted at least one hundred fifty miles from San José and where the situs of the employment will be at least the same distance from the city.
- H. Employment interview - private employer: Transportation, accommodation, food and directly related expenses incurred in connection with an employment interview and a bona fide prospect of employment, when the expenses are advanced or reimbursed to an officer or designated employee by a potential employer, provided that the officer or designated employee has not made or participated in the making of a governmental decision materially affecting the financial interest of the potential employer during the twelve months immediately preceding the time the expenses are incurred or the offer of employment is made, whichever is sooner.
- I. Authorized travel: Transportation, accommodation, food and directly related expenses for any officer or designated employee which has been authorized by a majority of the city council or redevelopment agency board or which is pursuant to a written city or redevelopment agency policy for intrastate or interstate travel regardless of the source of payment.
- J. City or redevelopment agency business: Transportation provided to an officer or designated employee by a contractor or other person doing business with the city or redevelopment agency, provided that such transportation is related to city or redevelopment agency business which is within the scope of employment or the duties of such officer or designated employee, and further provided that such

transportation is not in excess of one hundred twenty-five miles one way. Nothing in this subsection shall be interpreted to limit the city council's or redevelopment agency board's discretion to approve travel under subsection I. above.

- K. Flowers: Flowers, plants or balloons which are given on ceremonial occasions, to express condolences or congratulations, or to commemorate special occasions.
- L. Prizes and awards from bona fide competitions: A prize or award received shall be reported as a gift unless the prize or award is received in a bona fide competition not related to the recipient's status as a city or redevelopment agency employee. If reported as a gift, the prize or award must comply with the disclosure and disqualification requirements under the Political Reform Act of 1974, as amended.
- M. Wedding gifts: Wedding gifts from an individual other than a lobbyist as defined in Chapter 12.12.

Section 12.08.040 Acceptance of gifts.

A gift shall be deemed to have been accepted except where:

- A. It is not used, and, within thirty days after receipt, is returned to the donor or delivered to a charitable organization without being claimed as a charitable contribution for tax purposes.
- B. It is treated as and remains the property of the city or the redevelopment agency.
- C. It is received by an officer or designated employee in his or her official capacity or as a representative of the city or redevelopment agency, is reported to the city council or agency board, and the council or board approves the retention.

Section 12.08.050 Reporting gifts to domestic partner, spouse and children.

- A. At the time of filing the annual disclosure statement required by the political reform act or any applicable conflict-of-interest code, each city and redevelopment agency officer and designated **employee shall file a family gift report on a form to be provided by the city clerk.**
- B. The officer or designated employee shall indicate on such report any gifts known to have been accepted during the relevant reporting period by such officer's or employee's domestic partner, spouse and any dependent child where such gifts would have been prohibited to the officer or employee. The value of any such gift and the donor must be disclosed. If the officer or employee has no knowledge of any such gift having been received, the report shall so state.
- C. For purposes of this section, "domestic partner" shall mean any person registered as a domestic partner by an employee with the City of San José.

(Ords. 24499, 27258)

2018/2019 Statement of Economic Interests



Form 700

A Public Document

Table of Contents

Quick Start Guide	p.2
Who? Where? How? When?	p.3
Types of Statements	p.4
Cover Page and Schedules	
Cover Page	p.5
Schedule A-1 (<i>Investments</i>)	p.7
Schedule A-2 (<i>Business Entities/Trusts</i>)	p.9
Schedule B (<i>Real Property</i>)	p.11
Schedule C (<i>Income</i>)	p.13
Schedule D (<i>Gifts</i>)	p.15
Schedule E (<i>Travel Payments</i>)	p.17
Restrictions and Prohibitions	p.19
Q & A	p.20

Helpful Resources

- Video Tutorials
- Reference Pamphlet
- Excel Version
- FAQs
- Gift and Travel Fact Sheet for State and Local Officials

California Fair Political Practices Commission

1102 Q Street, Suite 3000 • Sacramento, CA 95811

Email Advice: 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

Quick Start Guide

Detailed instructions begin on page 3.

WHEN IS THE ANNUAL STATEMENT DUE?

- March 1 – Elected State Officers, Judges and Court Commissioners, State Board and Commission members listed in Government Code Section 87200
- April 2 – Most other filers

WHERE DO I FILE?

Most people file the Form 700 with their agency. If you're not sure where to file your Form 700, contact your filing officer or the person who asked you to complete it.

ITEMS TO NOTE!

- The Form 700 is a public document.
- Only filers serving in active military duty may receive an extension on the filing deadline.
- You must also report interests held by your spouse or registered domestic partner.
- Your agency's conflict of interest code will help you to complete the Form 700. You are encouraged to get your conflict of interest code from the person who asked you to complete the Form 700.

NOTHING TO REPORT?

Mark the "No reportable interests" box on Part 4 of the Cover Page, and submit only the signed Cover Page. Be sure to review each schedule carefully!

Schedule	Common Reportable Interests	Common Non-Reportable Interests
A-1: Investments	Stocks, including those held in an IRA or 401K. Each stock must be listed.	Insurance policies, government bonds, diversified mutual funds, funds similar to diversified mutual funds.
A-2: Business Entities/Trusts	Business entities, sole proprietorships, partnerships, LLCs, corporations and trusts. (e.g., Form 1099 filers).	Savings and checking accounts, and annuities.
B: Real Property	Rental property in filer's jurisdiction, or within two miles of the boundaries of the jurisdiction.	A residence used exclusively as a personal residence (such as a home or vacation property).
C: Income	Non-governmental salaries. Note that filers are required to report only half of their spouse's or partner's salary.	Governmental salary (from school district, for example).
D: Gifts	Gifts from businesses, vendors, or other contractors (meals, tickets, etc.).	Gifts from family members.
E: Travel Payments	Travel payments from third parties (not your employer).	Travel paid by your government agency.

Note: Like reportable interests, non-reportable interests may also create conflicts of interest and could be grounds for disqualification from certain decisions.

QUESTIONS?

- advice@fppc.ca.gov
- (866) 275-3772 Mon-Thurs, 9-11:30 a.m.

E-FILEING ISSUES?

- If using your agency's system, please contact technical support at your agency.
- If using FPPC's e-filing system, write to form700@fppc.ca.gov.

What's New

Gift Limit Increase

The gift limit increased to \$500 for calendar years 2019 and 2020. The gift limit in 2018 was \$470.

Who must file:

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

Exception: Candidates for a county central committee are not required to file the Form 700.

- Members of newly created boards and commissions not yet covered under a conflict of interest code
- Employees in newly created positions of existing agencies

See Reference Pamphlet, page 3, at www.fppc.ca.gov.

Where to file:

87200 Filers

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

Code Filers — State and Local Officials, Employees, and Consultants Designated in a Conflict of Interest

Code: File with your agency, board, or commission unless otherwise specified in your agency's code (e.g., Legislative staff files directly with FPPC). In most cases, the agency, board, or commission will retain the statements.

Members of Boards and Commissions of Newly

Created Agencies: File with your newly created agency or with your agency's code reviewing body.

Employees in Newly Created Positions of Existing

Agencies: File with your agency or with your agency's code reviewing body. (See Reference Pamphlet, page 3.)

Candidates: File with your local elections office.

How to file:

The Form 700 is available at www.fppc.ca.gov. Form 700 schedules are also available in Excel format. All statements must have an original "wet" signature or be duly authorized by your filing officer to file electronically under Government Code Section 87500.2.

When to file:

Annual Statements

➔ March 1, 2019

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

➔ April 2, 2019

- Most other filers

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

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

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

Assuming Office and Leaving Office Statements

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

Exception:

If you assumed office between October 1, 2018, and December 31, 2018, and filed an assuming office statement, you are not required to file an annual statement until March 2, 2020, or April 1, 2020, whichever is applicable. In that case, the annual statement will cover the day after you assumed office through December 31, 2019. (See Reference Pamphlet, page 6, for additional exceptions.)

Candidate Statements

File no later than the final filing date for the declaration of candidacy or nomination documents. A candidate statement is not required if you filed an assuming office or annual statement for the same jurisdiction within 60 days before filing a declaration of candidacy or other nomination documents.

Late Statements

There is no provision for filing deadline extensions unless the filer is serving in active military duty. (See page 19 for information on penalties and fines.)

Amendments

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

Types of Statements

Assuming Office Statement:

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

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

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

Example:

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

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

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

Annual Statement:

Generally, the period covered is January 1, 2018, through December 31, 2018. If the period covered by the statement is different than January 1, 2018, through December 31, 2018, (for example, you assumed office between October 1, 2017, and December 31, 2017 or you are combining statements), you must specify the period covered.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2018.

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

Leaving Office Statement:

Generally, the period covered is January 1, 2018, through the date you stopped performing the duties of your position. If the period covered differs from January 1, 2018, through the date you stopped performing the duties of your position (for example, you assumed office between October 1, 2017, and December 31, 2017, or you are combining statements), the period covered must be specified. The reporting period can cover parts of two calendar years.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2018.

Candidate Statement:

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

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

Amendments:

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

Note that once you file your statement, you may not withdraw it. All changes must be noted on amendment schedules.

COVER PAGE

A PUBLIC DOCUMENT

Please type or print in ink.

NAME OF FILER (LAST)

(FIRST)

(MIDDLE)

1. Office, Agency, or Court

Agency Name (Do not use acronyms)

Division, Board, Department, District, if applicable

Your Position

► If filing for multiple positions, list below or on an attachment. (Do not use acronyms)

Agency: _____

Position: _____

2. Jurisdiction of Office (Check at least one box)

☐ State

☐ Judge or Court Commissioner (Statewide Jurisdiction)

☐ Multi-County _____

☐ County of _____

☐ City of _____

☐ Other _____

3. Type of Statement (Check at least one box)

☐ **Annual:** The period covered is January 1, 2018, through December 31, 2018.

☐ **Leaving Office:** Date Left ____/____/____
(Check one circle.)

-or-

The period covered is ____/____/____, through December 31, 2018.

☐ The period covered is January 1, 2018, through the date of leaving office.

-or-

☐ **Assuming Office:** Date assumed ____/____/____

☐ The period covered is ____/____/____, through the date of leaving office.

☐ **Candidate:** Date of Election _____ and office sought, if different than Part 1: _____

4. Schedule Summary (must complete) ► Total number of pages including this cover page: _____

Schedules attached

☐ **Schedule A-1 - Investments** – schedule attached

☐ **Schedule C - Income, Loans, & Business Positions** – schedule attached

☐ **Schedule A-2 - Investments** – schedule attached

☐ **Schedule D - Income – Gifts** – schedule attached

☐ **Schedule B - Real Property** – schedule attached

☐ **Schedule E - Income – Gifts – Travel Payments** – schedule attached

-or- ☐ **None** - No reportable interests on any schedule

5. Verification

MAILING ADDRESS

STREET

CITY

STATE

ZIP CODE

(Business or Agency Address Recommended - Public Document)

DAYTIME TELEPHONE NUMBER

EMAIL ADDRESS

()

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I acknowledge this is a public document.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date Signed _____

(month, day, year)

Signature _____

(File the originally signed paper statement with your filing official.)

Instructions Cover Page

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

Part 1. Office, Agency, or Court

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

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

Example:

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

Part 2. Jurisdiction of Office

- Check the box indicating the jurisdiction of your agency and, if applicable, identify the jurisdiction. Judges, judicial candidates, and court commissioners have statewide jurisdiction. All other filers should review the Reference Pamphlet, page 13, to determine their jurisdiction.

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

Example:

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

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

Part 3. Type of Statement

Check at least one box. The period covered by a statement is determined by the type of statement you are filing. If you are completing a 2018 annual statement, **do not** change the pre-printed dates to reflect 2019. Your annual statement is used for reporting the **previous year's** economic interests. Economic interests for your annual filing covering January 1, 2019, through December 31, 2019, will be disclosed on your statement filed in 2020. See Reference Pamphlet, page 4.

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

Part 4. Schedule Summary

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

Part 5. Verification

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

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

(Ownership Interest is Less Than 10%)

Investments must be itemized.

Do not attach brokerage or financial statements.

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name _____

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

FAIR MARKET VALUE

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

NATURE OF INVESTMENT

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

IF APPLICABLE, LIST DATE:

____/____/18 ____/____/18
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

FAIR MARKET VALUE

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

NATURE OF INVESTMENT

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

IF APPLICABLE, LIST DATE:

____/____/18 ____/____/18
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

FAIR MARKET VALUE

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

NATURE OF INVESTMENT

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

IF APPLICABLE, LIST DATE:

____/____/18 ____/____/18
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

FAIR MARKET VALUE

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

NATURE OF INVESTMENT

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

IF APPLICABLE, LIST DATE:

____/____/18 ____/____/18
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

FAIR MARKET VALUE

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

NATURE OF INVESTMENT

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

IF APPLICABLE, LIST DATE:

____/____/18 ____/____/18
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

FAIR MARKET VALUE

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

NATURE OF INVESTMENT

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

IF APPLICABLE, LIST DATE:

____/____/18 ____/____/18
ACQUIRED DISPOSED

Comments: _____

Instructions – Schedules A-1 and A-2 Investments

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

Reportable investments include:

- Stocks, bonds, warrants, and options, including those held in margin or brokerage accounts and managed investment funds (See Reference Pamphlet, page 13.)
- Sole proprietorships
- Your own business or your spouse's or registered domestic partner's business (See Reference Pamphlet, page 8, for the definition of "business entity.")
- Your spouse's or registered domestic partner's investments even if they are legally separate property
- Partnerships (e.g., a law firm or family farm)
- Investments in reportable business entities held in a retirement account (See Reference Pamphlet, page 15.)
- If you, your spouse or registered domestic partner, and dependent children together had a 10% or greater ownership interest in a business entity or trust (including a living trust), you must disclose investments held by the business entity or trust. (See Reference Pamphlet, page 16, for more information on disclosing trusts.)
- Business trusts

You are not required to disclose:

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

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

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

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

To Complete Schedule A-1:

Do not attach brokerage or financial statements.

- Disclose the name of the business entity.
- Provide a general description of the business activity of the entity (e.g., pharmaceuticals, computers, automobile manufacturing, or communications).
- Check the box indicating the highest fair market value of your investment during the reporting period. If you are filing a candidate or an assuming office statement, indicate the fair market value on the filing date or the date you took office, respectively. (See page 20 for more information.)
- Identify the nature of your investment (e.g., stocks, warrants, options, or bonds).
- An acquired or disposed of date is only required if you initially acquired or entirely disposed of the investment interest during the reporting period. The date of a stock dividend reinvestment or partial disposal is not required. Generally, these dates will not apply if you are filing a candidate or an assuming office statement.

Examples:

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

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

Reminders

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

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

CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION Name _____

▶ 1. BUSINESS ENTITY OR TRUST

Name _____

Address (Business Address Acceptable) _____

Check one

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

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

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

IF APPLICABLE, LIST DATE:

____/____/18 ____/____/18
ACQUIRED DISPOSED

NATURE OF INVESTMENT

☐ Partnership ☐ Sole Proprietorship ☐ Other _____

YOUR BUSINESS POSITION _____

▶ 1. BUSINESS ENTITY OR TRUST

Name _____

Address (Business Address Acceptable) _____

Check one

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

GENERAL DESCRIPTION OF THIS BUSINESS

FAIR MARKET VALUE

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

IF APPLICABLE, LIST DATE:

____/____/18 ____/____/18
ACQUIRED DISPOSED

NATURE OF INVESTMENT

☐ Partnership ☐ Sole Proprietorship ☐ Other _____

YOUR BUSINESS POSITION _____

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

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

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

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

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

☐ None or ☐ Names listed below

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

☐ None or ☐ Names listed below

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

Check one box:

☐ INVESTMENT ☐ REAL PROPERTY

Name of Business Entity, if Investment, or
Assessor's Parcel Number or Street Address of Real Property

Description of Business Activity or
City or Other Precise Location of Real Property

FAIR MARKET VALUE

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

IF APPLICABLE, LIST DATE:

____/____/18 ____/____/18
ACQUIRED DISPOSED

NATURE OF INTEREST

☐ Property Ownership/Deed of Trust ☐ Stock ☐ Partnership

☐ Leasehold _____
Yrs. remaining

☐ Other _____

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

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

Check one box:

☐ INVESTMENT ☐ REAL PROPERTY

Name of Business Entity, if Investment, or
Assessor's Parcel Number or Street Address of Real Property

Description of Business Activity or
City or Other Precise Location of Real Property

FAIR MARKET VALUE

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

IF APPLICABLE, LIST DATE:

____/____/18 ____/____/18
ACQUIRED DISPOSED

NATURE OF INTEREST

☐ Property Ownership/Deed of Trust ☐ Stock ☐ Partnership

☐ Leasehold _____
Yrs. remaining

☐ Other _____

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

Comments: _____

Instructions – Schedule A-2

Investments, Income, and Assets of Business Entities/Trusts

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

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

To Complete Schedule A-2:

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

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

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

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

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

period. (See Reference Pamphlet, page 11, for examples.) Income from governmental sources may be reportable if not considered salary. See Regulation 18232. Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.

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

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

Mark "None" if you do not have any reportable \$10,000 sources of income to disclose. Phrases such as "various clients" or "not disclosing sources pursuant to attorney-client privilege" are not adequate disclosure. (See Reference Pamphlet, page 14, for information on procedures to request an exemption from disclosing privileged information.)

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

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

SCHEDULE B
Interests in Real Property
(Including Rental Income)

CALIFORNIA FORM 700
FAIR POLITICAL PRACTICES COMMISSION

Name _____

► ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS

CITY _____

FAIR MARKET VALUE

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

IF APPLICABLE, LIST DATE:

____/____/18 ____/____/18
ACQUIRED DISPOSED

NATURE OF INTEREST

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

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

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

SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more.

☐ None

► ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS

CITY _____

FAIR MARKET VALUE

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

IF APPLICABLE, LIST DATE:

____/____/18 ____/____/18
ACQUIRED DISPOSED

NATURE OF INTEREST

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

IF RENTAL PROPERTY, GROSS INCOME RECEIVED

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

SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more.

☐ None

* You are not required to report loans from a commercial lending institution made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

NAME OF LENDER*

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF LENDER

INTEREST RATE

_____% ☐ None

TERM (Months/Years)

HIGHEST BALANCE DURING REPORTING PERIOD

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

☐ Guarantor, if applicable

NAME OF LENDER*

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF LENDER

INTEREST RATE

_____% ☐ None

TERM (Months/Years)

HIGHEST BALANCE DURING REPORTING PERIOD

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

☐ Guarantor, if applicable

Comments: _____

Instructions – Schedule B Interests in Real Property

Report interests in real property located in your agency's jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more any time during the reporting period. Real property is also considered to be "within the jurisdiction" of a local government agency if the property or any part of it is located within two miles outside the boundaries of the jurisdiction or within two miles of any land owned or used by the local government agency. (See Reference Pamphlet, page 13.)

Interests in real property include:

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

You are not required to report:

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

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

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

To Complete Schedule B:

- Report the precise location (e.g., an assessor's parcel number or address) of the real property.
- Check the box indicating the fair market value of your interest in the property (regardless of what you owe on the property).
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property during the reporting period.
- Identify the nature of your interest. If it is a leasehold, disclose the number of years remaining on the lease.

Reminders

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

- If you received rental income, check the box indicating the gross amount you received.
- If you had a 10% or greater interest in real property and received rental income, list the name of the source(s) if your pro rata share of the gross income from any single tenant was \$10,000 or more during the reporting period. If you received a total of \$10,000 or more from two or more tenants acting in concert (in most cases, this will apply to married couples), disclose the name of each tenant. Otherwise, mark "None."
- Loans from a private lender that total \$500 or more and are secured by real property may be reportable. **Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.**

When reporting a loan:

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

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

Example:

Allison Gande is a city planning commissioner. During the reporting period, she received rental income of \$12,000, from a single tenant who rented property she owned in the city's jurisdiction. If Allison received \$6,000 each from two tenants, the tenants' names would not be required because no single tenant paid her \$10,000 or more. A married couple is considered a single tenant.

ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS 4600 24th Street	
CITY Sacramento	
FAIR MARKET VALUE <input type="checkbox"/> \$2,001 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	IF APPLICABLE, LIST DATE: ACQUIRED _____ DISPOSED _____
NATURE OF INTEREST <input type="checkbox"/> Ownership/Deed of Trust <input type="checkbox"/> Easement <input type="checkbox"/> Leasehold <input type="checkbox"/> Other _____	
IF RENTAL PROPERTY, GROSS INCOME RECEIVED <input type="checkbox"/> \$0 - \$499 <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	
SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more. <input type="checkbox"/> None Henry Wells	
NAME OF LENDER* Sophia Petrollo	
ADDRESS (Business Address Acceptable) 2121 Blue Sky Parkway, Sacramento	
BUSINESS ACTIVITY, IF ANY, OF LENDER Restaurant Owner	
INTEREST RATE 8 % <input type="checkbox"/> None	TERM (Months/Years) 15 Years
HIGHEST BALANCE DURING REPORTING PERIOD <input type="checkbox"/> \$500 - \$1,000 <input type="checkbox"/> \$1,001 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> OVER \$100,000	
<input type="checkbox"/> Guarantor, if applicable	
Comments:	

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

CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION Name _____

► **1. INCOME RECEIVED**

NAME OF SOURCE OF INCOME _____

ADDRESS (Business Address Acceptable) _____

BUSINESS ACTIVITY, IF ANY, OF SOURCE _____

YOUR BUSINESS POSITION _____

GROSS INCOME RECEIVED ☐ No Income - Business Position Only

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

CONSIDERATION FOR WHICH INCOME WAS RECEIVED

☐ Salary ☐ Spouse's or registered domestic partner's income
(For self-employed use Schedule A-2.)

☐ Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.)

☐ Sale of _____
(Real property, car, boat, etc.)

☐ Loan repayment

☐ Commission or ☐ Rental Income, list each source of \$10,000 or more

(Describe)

☐ Other _____
(Describe)

► **1. INCOME RECEIVED**

NAME OF SOURCE OF INCOME _____

ADDRESS (Business Address Acceptable) _____

BUSINESS ACTIVITY, IF ANY, OF SOURCE _____

YOUR BUSINESS POSITION _____

GROSS INCOME RECEIVED ☐ No Income - Business Position Only

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

CONSIDERATION FOR WHICH INCOME WAS RECEIVED

☐ Salary ☐ Spouse's or registered domestic partner's income
(For self-employed use Schedule A-2.)

☐ Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.)

☐ Sale of _____
(Real property, car, boat, etc.)

☐ Loan repayment

☐ Commission or ☐ Rental Income, list each source of \$10,000 or more

(Describe)

☐ Other _____
(Describe)

► **2. LOANS RECEIVED OR OUTSTANDING DURING THE REPORTING PERIOD**

* You are not required to report loans from a commercial lending institution, or any indebtedness created as part of a retail installment or credit card transaction, made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

NAME OF LENDER* _____

ADDRESS (Business Address Acceptable) _____

BUSINESS ACTIVITY, IF ANY, OF LENDER _____

HIGHEST BALANCE DURING REPORTING PERIOD

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

INTEREST RATE

TERM (Months/Years)

_____ % ☐ None

SECURITY FOR LOAN

☐ None ☐ Personal residence

☐ Real Property _____
Street address

City

☐ Guarantor _____

☐ Other _____
(Describe)

Comments: _____

Instructions – Schedule C Income, Loans, & Business Positions (Income Other Than Gifts and Travel Payments)

Reporting Income:

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

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

Reporting Business Positions:

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

Commonly reportable income and loans include:

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

Reminders

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

You are not required to report:

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

(See Reference Pamphlet, page 12.)

To Complete Schedule C:

Part 1. Income Received/Business Position Disclosure

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

Part 2. Loans Received or Outstanding During the Reporting Period

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

SCHEDULE D Income – Gifts

CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION Name _____

► NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

► NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

► NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

► NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

► NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

► NAME OF SOURCE *(Not an Acronym)*

ADDRESS *(Business Address Acceptable)*

BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____
____/____/____	\$ _____	_____

Comments: _____

Instructions – Schedule D

Income – Gifts

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

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

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

Commonly reportable gifts include:

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

You are not required to disclose:

Reminders

- Gifts from a single source are subject to a \$500 limit in 2019. (See Reference Pamphlet, page 10.)
- Code filers – you only need to report gifts from reportable sources.

Gift Tracking Mobile Application

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

- Gifts that were not used and that, within 30 days after receipt, were returned to the donor or delivered to a charitable organization or government agency without being claimed by you as a charitable contribution for tax purposes
- Gifts from your spouse or registered domestic partner, child, parent, grandparent, grandchild, brother, sister, and certain other family members (See Regulation 18942 for a complete list.). The exception does not apply if the donor was acting as an agent or intermediary for a reportable source who was the true donor.
- Gifts of similar value exchanged between you and an individual, other than a lobbyist registered to lobby your state agency, on holidays, birthdays, or similar occasions
- Gifts of informational material provided to assist you in the performance of your official duties (e.g., books, pamphlets, reports, calendars, periodicals, or educational seminars)
- A monetary bequest or inheritance (However, inherited investments or real property may be reportable on other schedules.)
- Personalized plaques or trophies with an individual value of less than \$250
- Campaign contributions
- Up to two tickets, for your own use, to attend a fundraiser for a campaign committee or candidate, or to a fundraiser for an organization exempt from taxation under Section 501(c)(3) of the Internal Revenue Code. The ticket must be received from the organization or committee holding the fundraiser.
- Gifts given to members of your immediate family if the source has an established relationship with the family member and there is no evidence to suggest the donor had a purpose to influence you. (See Regulation 18943.)
- Free admission, food, and nominal items (such as a pen, pencil, mouse pad, note pad or similar item) available to all attendees, at the event at which the official makes a speech (as defined in Regulation 18950(b)(2)), so long as the admission is provided by the person who organizes the event.
- Any other payment not identified above, that would otherwise meet the definition of gift, where the payment is made by an individual who is not a lobbyist registered to lobby the official's state agency, where it is clear that the gift was made because of an existing personal or business relationship unrelated to the official's position and there is no evidence whatsoever at the time the gift is made to suggest the donor had a purpose to influence you.

To Complete Schedule D:

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

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

CALIFORNIA FORM 700 FAIR POLITICAL PRACTICES COMMISSION
Name _____

- Mark either the gift or income box.
- Mark the "501(c)(3)" box for a travel payment received from a nonprofit 501(c)(3) organization or the "Speech" box if you made a speech or participated in a panel. Per Government Code Section 89506, these payments may not be subject to the gift limit. However, they may result in a disqualifying conflict of interest.
- For gifts of travel, provide the travel destination.

▶ NAME OF SOURCE (Not an Acronym) _____

ADDRESS (Business Address Acceptable) _____

CITY AND STATE _____

☐ 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If gift)

▶ MUST CHECK ONE: ☐ Gift -or- ☐ Income

☐ Made a Speech/Participated in a Panel

☐ Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE (Not an Acronym) _____

ADDRESS (Business Address Acceptable) _____

CITY AND STATE _____

☐ 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If gift)

▶ MUST CHECK ONE: ☐ Gift -or- ☐ Income

☐ Made a Speech/Participated in a Panel

☐ Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE (Not an Acronym) _____

ADDRESS (Business Address Acceptable) _____

CITY AND STATE _____

☐ 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If gift)

▶ MUST CHECK ONE: ☐ Gift -or- ☐ Income

☐ Made a Speech/Participated in a Panel

☐ Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE (Not an Acronym) _____

ADDRESS (Business Address Acceptable) _____

CITY AND STATE _____

☐ 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If gift)

▶ MUST CHECK ONE: ☐ Gift -or- ☐ Income

☐ Made a Speech/Participated in a Panel

☐ Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

Comments: _____

Instructions – Schedule E Travel Payments, Advances, and Reimbursements

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

Gifts of travel may be subject to the gift limit. In addition, certain travel payments are reportable gifts, but are not subject to the gift limit. To avoid possible misinterpretation or the perception that you have received a gift in excess of the gift limit, you may wish to provide a specific description of the purpose of your travel. (See the FPPC fact sheet entitled "Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans" to read about travel payments under section 89506(a).)

You are **not** required to disclose:

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

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

To Complete Schedule E:

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

When reporting travel payments that are gifts, you must provide a description of the gift, the **date(s)** received, and the **travel destination**.

- **Travel payments are income** if you provided services that were equal to or greater in value than the payments received. You must disclose income totaling

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

Example:

City council member MaryClaire Chandler is the chair of a 501(c)(6) trade association, and the association pays for her travel to attend its meetings. Because MaryClaire is deemed to be providing equal or greater consideration for the travel payment by virtue of serving on the board, this payment may be reported as income. Payments for MaryClaire to attend other events for which she is not providing services are likely considered gifts. Note that the same payment from a 501(c)(3) would NOT be reportable.

▶ NAME OF SOURCE (Not an Acronym)	
Health Services Trade Association	
ADDRESS (Business Address Acceptable)	
1230 K Street, Suite 610	
CITY AND STATE	
Sacramento, CA	
<input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE	
Association of Healthcare Workers	
DATE(S):	AMT: \$ 150.00
(If gift)	
▶ MUST CHECK ONE: <input type="checkbox"/> Gift -or- <input checked="" type="checkbox"/> Income	
<input type="radio"/> Made a Speech/Participated in a Panel	
<input checked="" type="radio"/> Other - Provide Description: Travel reimbursement for board meeting.	

Example:

Mayor Kim travels to China on a trip organized by China Silicon Valley Business Development, a California nonprofit, 501(c)(6) organization. The Chengdu Municipal People's Government pays for Mayor Kim's airfare and travel costs, as well as his meals and lodging during the trip. The trip's agenda shows that the trip's purpose is to promote job creation and economic activity in China and in Silicon Valley, so the trip is reasonably related to a governmental purpose. Thus, Mayor Kim must report the gift of travel, but the gift is exempt from the gift limit. In this case, the travel payments are not subject to the gift limit because the source is a foreign government and because the travel is reasonably related to a governmental purpose. (Section 89506(a)(2).) Note that Mayor Kim could be disqualified from participating in or making decisions about The Chengdu Municipal People's Government for 12 months. Also note that if China Silicon Valley Business Development (a 501(c)(6) organization) paid for the travel costs rather than the governmental organization, the payments would be subject to the gift limits. (See the FPPC fact sheet, Limitations and Restrictions on Gifts, Honoraria, Travel and Loans, at www.fppc.ca.gov.)

▶ NAME OF SOURCE (Not an Acronym)	
Chengdu Municipal People's Government	
ADDRESS (Business Address Acceptable)	
2 Caoshi St, CaoShiJie, Qingyang Qu, Chengdu Shi,	
CITY AND STATE	
Sichuan Sheng, China, 610000	
<input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE	
DATE(S): 09 / 04 / XX	AMT: \$ 3,874.38
(If gift)	
▶ MUST CHECK ONE: <input checked="" type="checkbox"/> Gift -or- <input type="checkbox"/> Income	
<input type="radio"/> Made a Speech/Participated in a Panel	
<input checked="" type="radio"/> Other - Provide Description: Travel reimbursement for trip to China.	
▶ If Gift, Provide Travel Destination	
Sichuan Sheng, China	

Restrictions and Prohibitions

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

Gift Prohibition

Gifts received by most state and local officials, employees, and candidates are subject to a limit. In 2017 and 2018, the gift limit was \$470 from a single source during a calendar year. In 2019-2020, the gift limit increased to \$500 from a single source during a calendar year.

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

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

Disqualification

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

Honorarium Ban

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

Loan Restrictions

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

Post-Governmental Employment

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

Late Filing

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

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

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

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

Form 700 is a Public Document Public Access Must Be Provided

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

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

Questions and Answers

General

- Q. What is the reporting period for disclosing interests on an assuming office statement or a candidate statement?
- A. On an assuming office statement, disclose all reportable investments, interests in real property, and business positions held on the date you assumed office. In addition, you must disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you assumed office.
- On a candidate statement, disclose all reportable investments, interests in real property, and business positions held on the date you file your declaration of candidacy. You must also disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you file your declaration of candidacy.
- Q. I hold two other board positions in addition to my position with the county. Must I file three statements of economic interests?
- A. Yes, three are required. However, you may complete one statement listing the county and the two boards on the Cover Page or an attachment as the agencies for which you will be filing. Report your economic interests using the largest jurisdiction and highest disclosure requirements assigned to you by the three agencies. Make two copies of the entire statement before signing it, sign each copy with an original signature, and distribute one original to the county and to each of the two boards. Remember to complete separate statements for positions that you leave or assume during the year.
- Q. I am a department head who recently began acting as city manager. Should I file as the city manager?
- A. Yes. File an assuming office statement as city manager. Persons serving as "acting," "interim," or "alternate" must file as if they hold the position because they are or may be performing the duties of the position.
- Q. My spouse and I are currently separated and in the process of obtaining a divorce. Must I still report my spouse's income, investments, and interests in real property?
- A. Yes. A public official must continue to report a spouse's economic interests until such time as dissolution of marriage proceedings is final. However, if a separate property agreement has been reached prior to that time, your estranged spouse's income may not have to be reported. Contact the FPPC for more information.

Q. As a designated employee, I left one state agency to work for another state agency. Must I file a leaving office statement?

A. Yes. You may also need to file an assuming office statement for the new agency.

Investment Disclosure

Q. I have an investment interest in shares of stock in a company that does not have an office in my jurisdiction. Must I still disclose my investment interest in this company?

A. Probably. The definition of "doing business in the jurisdiction" is not limited to whether the business has an office or physical location in your jurisdiction. (See Reference Pamphlet, page 13.)

Q. My spouse and I have a living trust. The trust holds rental property in my jurisdiction, our primary residence, and investments in diversified mutual funds. I have full disclosure. How is this trust disclosed?

A. Disclose the name of the trust, the rental property and its income on Schedule A-2. Your primary residence and investments in diversified mutual funds registered with the SEC are not reportable.

Q. I am required to report all investments. I have an IRA that contains stocks through an account managed by a brokerage firm. Must I disclose these stocks even though they are held in an IRA and I did not decide which stocks to purchase?

A. Yes. Disclose on Schedule A-1 or A-2 any stock worth \$2,000 or more in a business entity located in or doing business in your jurisdiction.

Q. The value of my stock changed during the reporting period. How do I report the value of the stock?

A. You are required to report the highest value that the stock reached during the reporting period. You may use your monthly statements to determine the highest value. You may also use the entity's website to determine the highest value. You are encouraged to keep a record of where you found the reported value. Note that for an assuming office statement, you must report the value of the stock on the date you assumed office.

Questions and Answers Continued

Q. I am the sole owner of my business, an S-Corporation. I believe that the nature of the business is such that it cannot be said to have any "fair market value" because it has no assets. I operate the corporation under an agreement with a large insurance company. My contract does not have resale value because of its nature as a personal services contract. Must I report the fair market value for my business on Schedule A-2 of the Form 700?

A. Yes. Even if there are no *tangible* assets, intangible assets, such as relationships with companies and clients are commonly sold to qualified professionals. The "fair market value" is often quantified for other purposes, such as marital dissolutions or estate planning. In addition, the IRS presumes that "personal services corporations" have a fair market value. A professional "book of business" and the associated goodwill that generates income are not without a determinable value. The Form 700 does not require a precise fair market value; it is only necessary to check a box indicating the broad range within which the value falls.

Q. I own stock in IBM and must report this investment on Schedule A-1. I initially purchased this stock in the early 1990s; however, I am constantly buying and selling shares. Must I note these dates in the "Acquired" and "Disposed" fields?

A. No. You must only report dates in the "Acquired" or "Disposed" fields when, during the reporting period, you initially purchase a reportable investment worth \$2,000 or more or when you dispose of the entire investment. You are not required to track the partial trading of an investment.

Q. On last year's filing I reported stock in Encoe valued at \$2,000 - \$10,000. Late last year the value of this stock fell below and remains at less than \$2,000. How should this be reported on this year's statement?

A. You are not required to report an investment if the value was less than \$2,000 during the **entire** reporting period. However, because a disposed date is not required for stocks that fall below \$2,000, you may want to report the stock and note in the "comments" section that the value fell below \$2,000. This would be for informational purposes only; it is not a requirement.

Q. We have a Section 529 account set up to save money for our son's college education. Is this reportable?

A. If the Section 529 account contains reportable interests (e.g., common stock valued at \$2,000 or more), those interests are reportable (not the actual Section 529 account). If the account contains solely mutual funds, then nothing is reported.

Income Disclosure

Q. I reported a business entity on Schedule A-2. Clients of my business are located in several states. Must I report all clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2, Part 3?

A. No, only the clients located in or doing business on a regular basis in your jurisdiction must be disclosed.

Q. I believe I am not required to disclose the names of clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2 because of their right to privacy. Is there an exception for reporting clients' names?

A. Regulation 18740 provides a procedure for requesting an exemption to allow a client's name not to be disclosed if disclosure of the name would violate a legally recognized privilege under California or Federal law. This regulation may be obtained from our website at www.fppc.ca.gov. (See Reference Pamphlet, page 14.)

Q. I am sole owner of a private law practice that is not reportable based on my limited disclosure category. However, some of the sources of income to my law practice are from reportable sources. Do I have to disclose this income?

A. Yes, even though the law practice is not reportable, reportable sources of income to the law practice of \$10,000 or more must be disclosed. This information would be disclosed on Schedule C with a note in the "comments" section indicating that the business entity is not a reportable investment. The note would be for informational purposes only; it is not a requirement.

Questions and Answers Continued

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

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

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

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

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

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

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

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

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

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

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

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

Real Property Disclosure

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

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

Q. I am a city manager, and I own a rental property located in an adjacent city, but one mile from the city limit. Do I need to report this property interest?

A. Yes. You are required to report this property because it is located within 2 miles of the boundaries of the city you manage.

Q. Must I report a home that I own as a personal residence for my daughter?

A. You are not required to disclose a home used as a personal residence for a family member unless you receive income from it, such as rental income.

Q. I am a co-signer on a loan for a rental property owned by a friend. Since I am listed on the deed of trust, do I need to report my friend's property as an interest in real property on my Form 700?

A. No. Simply being a co-signer on a loan for property does not create a reportable interest in real property for you.

Gift Disclosure

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

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

Questions and Answers Continued

- Q. Julia and Jared Benson, a married couple, want to give a piece of artwork to a county supervisor. Is each spouse considered a separate source for purposes of the gift limit and disclosure?
- A. Yes, each spouse may make a gift valued at the gift limit during a calendar year. For example, during 2018 the gift limit was \$470, so the Bensons may have given the supervisor artwork valued at no more than \$940. The supervisor must identify Jared and Julia Benson as the sources of the gift.
- Q. I am a Form 700 filer with full disclosure. Our agency holds a holiday raffle to raise funds for a local charity. I bought \$10 worth of raffle tickets and won a gift basket valued at \$120. The gift basket was donated by Doug Brewer, a citizen in our city. At the same event, I bought raffle tickets for, and won a quilt valued at \$70. The quilt was donated by a coworker. Are these reportable gifts?
- A. Because the gift basket was donated by an outside source (not an agency employee), you have received a reportable gift valued at \$110 (the value of the basket less the consideration paid). The source of the gift is Doug Brewer and the agency is disclosed as the intermediary. Because the quilt was donated by an employee of your agency, it is not a reportable gift.
- Q. My agency is responsible for disbursing grants. An applicant (501(c)(3) organization) met with agency employees to present its application. At this meeting, the applicant provided food and beverages. Would the food and beverages be considered gifts to the employees? These employees are designated in our agency's conflict of interest code and the applicant is a reportable source of income under the code.
- A. Yes. If the value of the food and beverages consumed by any one filer, plus any other gifts received from the same source during the reporting period total \$50 or more, the food and beverages would be reported using the fair market value and would be subject to the gift limit.
- Q. I received free admission to an educational conference related to my official duties. Part of the conference fees included a round of golf. Is the value of the golf considered informational material?
- A. No. The value of personal benefits, such as golf, attendance at a concert, or sporting event, are gifts subject to reporting and limits.

San Jose Arena Authority

Annual Meeting of the Board of Directors
SAP Center at San Jose
President's Room
525 West Santa Clara Street
San Jose, CA
December 5, 2018
6:00 pm

Meeting Minutes

Board Members in Attendance

Matthew Bright	Carl Honaker
David Buchholz	Nicole Inamine
Jonathan Clough	John Kennett
Eileen Consiglio	Kathy Sutherland
Devora Davis	Rusty Weekes
Leslee Hamilton	

Board Members Not in Attendance

Scott Bruner	Donald Rocha
Loren Haley	Eva Terrazas
Colleen Reilly	Vinni Walia

Staff in Attendance

Chris Morrissey (Executive Director)
Shelly Wang (Administrative Assistant)
Elizabeth Klotz (Deputy City Attorney)

Guests in Attendance

Mayor Sam Liccardo
John Tortora (Sharks Sports & Entertainment)
James Hamnett (Sharks Sports & Entertainment)
Rich Sotelo (Sharks Sports & Entertainment)
Phil Fernandez (Council District 6)

1. **Call to Order/Roll Call/Introductions.** The Arena Authority convened the Annual Meeting of the Board of Directors at 6:03 pm.
2. **General Business**
 - a. **Review and Approve the October 2018 Regular Board Meeting Minutes.** Approved. Nine approvals. 1st: Kennett, 2nd: Weekes.
 - b. **Presentation on Activities with Sharks Sports & Entertainment (Tortora).** President John Tortora provided an overview of Sharks Sports & Entertainment (SS&E) activities over the past year along with the major events planned for 2019.
 - c. **Presentation of City Commendation for the 25th Anniversary of SAP Center at San Jose.** Mayor Sam Liccardo presented a commendation to SS&E President John Tortora for the 25th Anniversary of SAP Center at San Jose.

3. Executive Director and Staff Reports

3.1. Executive Director (Morrisey)

a. Accept Verbal Reports on Arena Authority Oversight

- SAP Center at San Jose. The NCAA National Football Championship media day is scheduled for January 5. The demolition of the foundry at the corner of Montgomery and St. John Streets is now underway. A paved parking lot will be build on the site and will be done by the January 2019 NHL All-Star Game. The NHL All-Star Game weekend will include a skills competition on January 25 and the game on January 26. The Adobe towers project is scheduled to begin in 2019.
- Solar4America Ice at San Jose. The Thanksgiving Hockey Tournament attracted 77 teams. Public skating sessions have been expanded due to higher demand.
- San Jose Municipal Stadium. The City's Department of Public Works quickly responded to water flowing into Municipal Stadium during a recent heavy rain. The City and the Giants are working on the new stadium agreement. The City will be reimbursing the Giants for the work to replace the press box window frames.

b. Accept Reports on Arena Authority Administrative Issues

- VTa/BART Downtown/Diridon Community Working Group (CWG; verbal). Geotechnical work and utility data gathering continues in the Downtown core for the underground BART stations and track route.
- Emergency Resources Network (ERN; verbal). The City will be moving forward with a comprehensive study of physical barriers at major City facilities.
- South Campus Operations Team (SCOT; verbal). A representative from the City's Homeless Response Team met with SCOT members to discuss homelessness in the south campus area.
- City of San Jose Emergency Services Council. See agenda item 3.1.b.

3.2. Administrative Assistant (Wang)

- ##### a. Accept Report on Recent and Upcoming Events at SAP Center at San Jose. See agenda item 3.2.a.
- ##### b. Accept Verbal Report on Activities at Solar4America Ice at San Jose. No report.

4. Committee Reports

4.1. Standing Executive Committee (Chair: Hamilton)

- ##### a. Accept Verbal Report on the City / Arena Authority Restated Agreement. The City Manager's Office is currently reviewing a preliminary draft of the agreement.
- ##### b. Accept Verbal Report on City Funding Discussions. See agenda item 4.1.a.
- ##### c. Accept Verbal Report on the Station Area Advisory Group (SAAG). Discussions with the group are near completion.

4.2. Standing Finance Committee (Chair: Bright)

- ##### a. Review and Approve September 2018 Financial Statements. Approved. Nine approvals. 1st: Bright, 2nd: Honaker.
- ##### b. Review and Approved Fiscal Year 2017-18 Financial Compilation Report. Approved. Nine approvals. 1st: Bright, 2nd: Honaker.

San Jose Arena Authority
Annual Meeting of the Board of Directors
December 5, 2018
Page 3

- 4.3. Standing San Jose Sports Hall of Fame Committee (Chair: Reilly)
a. Accept Report on the 2018 San Jose Sports Hall of Fame Program. The San Jose Sports Authority hosted another successful Sports Hall of Fame event with 520 attendees.
- 4.4. Standing Facilities Committee (Co-Chairs: Buchholz, Clough)
a. Accept Verbal Reports on Capital Budget Preparations for SAP Center at San Jose and Solar4America Ice at San Jose. SAP Center Management is currently preparing the draft capital budget documents.
b. Accept Report on Capital Work Invoices for SAP Center at San Jose and Solar4America Ice at San Jose. See agenda item 4.4.b.
- 4.5. Standing San Jose Municipal Stadium Committee (Co-Chairs: Honaker, Kennett)
a. Accept Verbal Report on Capital Budget Preparation for San Jose Municipal Stadium. Capital budget discussions will begin during the first quarter of 2019.
- 4.6. Ad Hoc Board Recruitment Committee (Chair: Sutherland)
a. Accept Verbal Report on Current Board Vacancies. No report.
- 4.7. Standing Community Programs Committee (Co-Chairs: Bright, Terrazas)
a. Accept Reports on Recent City and Community Events Program Activity:
 - Youth Connections Foundation of San Jose. Executive Director Morrissey reported that the Youth Connections Foundation's Comedy for Kids fundraiser was well attended and featured some local comedic talent.
 - San Jose Sports Hall of Fame. See agenda item 4.3.a.
5. **Open Forum.** Councilmember Davis spoke about the City Council's unanimous decision to sell City property to Google.
6. **Adjournment.** The meeting adjourned at 7:02 pm.

Submitted by:



Shelly Wang

RD:EAK
11/25/2018

**FIRST AMENDMENT TO THE
SECOND AMENDED AND RESTATED ARENA MANAGEMENT AGREEMENT**

THIS FIRST AMENDMENT TO THE SECOND AMENDED AND RESTATED ARENA MANAGEMENT AGREEMENT ("First Amendment") is executed as of December 4, 2018 ("Execution Date"), by and between CITY OF SAN JOSE, a municipal corporation ("City"), and SAN JOSE ARENA MANAGEMENT, LLC, a Delaware limited liability company ("Manager").

RECITALS

- A. City and Manager (collectively, the "Parties" and individually, a "Party") are parties to that certain Second Amended and Restated San Jose Arena Management Agreement dated as of August 15, 2018 (the "AMA") for the management and operation of a regional multi-purpose sports and entertainment arena and related facilities ("Arena Facilities") owned by City and located in downtown San Jose, California.
- B. The Arena Facilities include certain On-Site Parking Facilities, including approximately 228 parking spaces situated at 8 S. Montgomery Street across W. Santa Clara Street from the Arena. This property, also known as "Lot D," is used for public parking, with priority for Arena Event-related parking.
- C. City and Google LLC ("Google") are parties to a Purchase and Sale Agreement dated concurrently herewith, for the sale by City to Google of several properties formerly owned by the Successor Agency to the Redevelopment Agency of the City of San Jose, including Lot D.
- D. Effective as of the close of escrow under the Purchase and Sale Agreement, and as a condition to such closing, Manager and Google are entering into a Parking Lease (the "Lot D Lease") as described in Section 18.2.2 of the AMA. Pursuant to the Lot D Lease, Manager will continue to use Lot D for parking until construction work on Lot D (for either BART or another project) is ready to commence.
- E. As a condition of the Lot D Lease, and in order to complete the sale of Lot D to Google, City must provide a minimum of 228 new parking spaces within close proximity to the Arena, in order to replace the parking spaces that will be eliminated for the development of Lot D. Such replacement parking will help ensure the continued vitality of the City-owned Arena, recognizing that the Arena is a major anchor for both downtown San Jose and the Diridon Station Area.
- F. The Parties now wish to enter into this First Amendment in order to set forth the terms and conditions under which City has agreed to provide such public parking.

AGREEMENT

NOW, THEREFORE, in consideration of the foregoing Recitals, and in further consideration of the terms, covenants and conditions herein contained, the Parties mutually agree as follows:

Page 1

SECTION 1. GENERAL EFFECT OF FIRST AMENDMENT.

1.1 Recitals. The foregoing Recitals are hereby restated by reference and incorporated herein as terms and conditions of this First Amendment.

1.2 Closing Date. This First Amendment shall be valid and binding as of the Execution Date set forth above, but the terms and conditions hereof shall not become effective or commence until the date that City conveys Lot D to Google and the Lot D Lease becomes effective (the "Closing Date").

1.3 Defined Terms.

1.3.1 Definitions. In the AMA, as amended by this First Amendment, the following terms shall have the meanings given below:

- (a) "**Delmas East**" means the parcels designated as APN 259-38-128 and -142, located on the east side of Delmas Avenue in San Jose, California, and depicted on the map attached hereto as Exhibit A. Currently, the use of Delmas East is controlled by Google, and Google has the right to acquire title to Delmas East.
- (b) "**Delmas West**" means the parcels designated as APN 259-38-036, -039, -040, -041, -042, -109, -110, -145, -146, and -148, located on the west side of Delmas Avenue, and depicted on Exhibit A. Currently, the use of Delmas West is controlled by Google, and Google has the right to acquire title to Delmas West.
- (c) "**Delmas West Parking**" means all parking spaces located on Delmas West as of the Closing Date. Currently there are approximately 324 parking spaces on Delmas West.
- (d) "**Force Majeure Event**" shall have the meaning given in Section 37.1 of the AMA. In addition, for purposes of this First Amendment only, the term "Force Majeure Event" shall include any Project Challenge.
- (e) "**Lot E**" means the parcels designated as APN 259-29-001, -002, -003, -004, -005, -026, -027, -028, -029, and -091, located on the west side of N. Autumn Street in San Jose, California, and depicted on the map attached hereto as Exhibit B. Title to the parcels comprising Lot E is held by a number of parties, including City, Manager, and others. Lot E is the subject of the Settlement Agreement described below.
- (f) "**Milligan**" means the parcels designated as APN 259-29-032, -033, -071, -072, and -102, and a portion of APN 259-29-101, located on the east side of N. Autumn Street, and depicted on Exhibit B. Title to substantially all of the parcels comprising Milligan is currently held by the City.
- (g) "**Project Challenge**" means any effort by a third party to hinder, impede, delay, or otherwise challenge City's right to perform its obligations described in Section 3 below, which challenge is exerted through litigation, arbitration or other process of law.

- (g) **"Settlement Agreement"** means the Settlement Agreement and Release made by and between City, Sharks Sports & Entertainment LLC, and two Trammell Crow entities, dated December 1, 2016.

1.3.2 **Other Capitalized Terms.** Capitalized terms used in this First Amendment that are not defined herein shall have the definitions given in the AMA.

SECTION 2. REPLACEMENT PARKING ON DELMAS WEST.

2.1 Additional Approved Location for Replacement Parking.

2.1.1 **Manager's Consent.** Manager agrees that, pursuant to Section 18.2.2(c) of the AMA, Manager will allow Google to locate Replacement Parking on Delmas West, subject to the satisfaction of the condition precedent described in Section 2.2.1 below.

2.1.2 Amendments to Replacement Parking Requirements.

- (a) Manager acknowledges that the parking spaces on Delmas West are currently existing (not new), and therefore the provisions of subsection 18.2.2(c)(iii) of the AMA shall not apply to Replacement Parking on Delmas West.
- (b) Further, Manager agrees that the parking lot improvements currently existing on Delmas West are adequate to satisfy the specific requirements set forth in subsection 18.2.2(c)(ii) of the AMA regarding paving, striping, lighting and other features.

2.2 **Covenant to Keep Delmas West Parking Open.** Currently, Google causes the Delmas West Parking to be operated as a public parking lot, including for Arena Events. As of the Closing Date, there is no legal requirement for Google to keep Delmas West Parking open for public parking.

2.2.1 **Operating Covenant in Lot D Lease.** As a condition precedent to Manager's agreement to allow Google to locate Replacement Parking on Delmas West, the Lot D Lease must include a covenant from Google that Google will keep all of the Delmas West Parking open (not just the 228 Replacement Parking spaces) for public parking, commencing on the Closing Date and continuing until Google obtains a grading permit for its development project on Delmas West; provided, however, that notwithstanding the issuance of any such grading permit, Google will, at a minimum, keep the Delmas West Parking open until the earlier of the following:

- (a) City's completion of its obligation to build-out new parking lots containing at least 408 Available Parking Spaces (180 spaces required under the Settlement Agreement and 228 incremental spaces required under this First Amendment) pursuant to the terms and conditions of Section 3 below; OR
- (b) Provided that the City is otherwise in compliance with its off-site parking obligations under Section 19 of the AMA, when:
 - (i) BART service to the Diridon Station area is operational; OR

- (ii) Google has constructed at least 500 Available Parking Spaces as part of its development project on Delmas East; provided, however, that if the 500 spaces are shared spaces (i.e., not exclusively reserved for Arena customers) they must be designed such that all 500 vehicles can safely exit from the parking structure onto the public streets within a period of 30 minutes.

2.2.2 Amendments to Lot D Lease Requirements.

- (a) With respect to the lease or operating agreement for the Delmas West Parking, the provisions of subsections 18.2.2 (d) and (e) of the AMA shall be superseded by the provisions described in Section 2.2.1 above.
- (b) Except as expressly set forth in this First Amendment, all other provisions of Section 18.2.2 of the AMA relating to the Lot D Lease or Replacement Parking shall remain unchanged and in full force and effect.

SECTION 3. CONSTRUCTION OF NEW PARKING SPACES BY CITY

3.1 Acquisition and Improvement of Surface Parking. City hereby covenants, promises and agrees that it will, at its sole cost and expense, acquire ownership or control over all parcels comprising Lot E and Milligan, and complete construction of surface parking lots on those properties, in accordance with the following provisions:

3.1.1 Best Efforts; Eminent Domain. City will use best efforts to purchase and/or ground lease all parcels within Lot E or Milligan that it does not currently own or control, as soon as is reasonably possible following the Closing Date.

- (a) To the extent it has not already done so, City shall promptly obtain appraisals, make purchase offers, and diligently pursue completion of purchase negotiations with the owners of the applicable parcels. If City is unable to acquire the parcels through such efforts, City staff will promptly seek to obtain the City Council's approval to use the power of eminent domain to complete such acquisitions, and to diligently prosecute such actions to completion.
- (b) Nothing herein shall be construed to mean that City will agree or has agreed to exercise its power of eminent domain, which shall remain in the sole discretion of the City Council and may be exercised only after the City has adopted a Resolution of Necessity and complied with all other legal requirements.

3.1.2 Number of Parking Spaces. Each parking lot will contain the maximum number of parking spaces that can reasonably be constructed on each parcel, which the Parties estimate to be approximately 267 parking spaces on Lot E and approximately 297 parking spaces on Milligan, including accessible parking spaces as required by Applicable Construction Codes. Unless otherwise mutually agreed by the Parties, the parking lot layout for Lot E shall conform to the conceptual plan attached hereto as **Exhibit C**, and the parking lot layout for Milligan shall conform to the conceptual plan attached hereto as **Exhibit D**.

- (a) The parking spaces described above include the 180 parking spaces that City agreed to construct pursuant to the Settlement Agreement.

- (b) City will ensure a minimum of 408 new parking spaces will be available, which is the sum of the 180 parking spaces required under the Settlement Agreement, and the 228 parking spaces now located on Lot D.

3.1.3 Level of Improvements. City shall improve each parking lot with asphalt paving, striping, lighting and other features as mutually approved by City and Manager based on the Applicable Parking Standard, and shall provide access and circulation as reasonably approved by Manager. City shall also include Accessible Parking Spaces and related signage as required by Applicable Construction Codes.

3.2 Time for Performance. City covenants, promises and agrees that it shall complete the acquisition and improvement of the new parking lots on Lot E and Milligan as described above within no later than 30 months following the Closing Date, subject only to Force Majeure Events that result in delays that City cannot reasonably avoid, as described below.

3.2.1 Schedule of Performance. Attached to this First Amendment as **Exhibit E** is a Schedule of Performance, which describes the actions that City shall take in order to complete its obligations under this Section 3. City shall take all actions, pay all sums of money (subject to City Council appropriation of funds), and exert all efforts necessary to accomplish each task by the applicable date set forth in the Schedule of Performance.

- (a) City shall keep Manager apprised as to the status of all work to be undertaken by or on behalf of City as described in the Schedule of Performance. At Manager's request, City shall promptly give Manager a progress update advising Manager of the status of all work being undertaken pursuant to this provision.
- (b) If City falls behind (or is projected to fall behind) in meeting the Schedule of Performance deadlines, City shall meet and confer with Manager at Manager's request, to discuss ways that City may be able to make up time through commercially reasonable measures.

3.3 Force Majeure Event. Consistent with Section 37.2 of the AMA, the deadlines under the Schedule of Performance shall be extended to the extent that any Force Majeure Event causes a delay that City cannot overcome by taking commercially reasonable measures.

3.3.1 Notice of Delay. City shall notify Manager within ten days of the occurrence of any Force Majeure Event that causes a delay in City's performance. Such notice shall specify the nature of the Force Majeure Event, and the actions that City plans to take, if any, to make up time lost as a result thereof.

- (a) The extension of City's performance obligations shall not exceed the length of any delay caused by the Force Majeure Event, which delay cannot be overcome through commercially reasonable measures.
- (b) Notwithstanding the foregoing, in the case of a Project Challenge (including without limitation under CEQA), City shall not be required to agree to settle the case based on any mitigation measures or other settlement terms that City deems to be extraordinary.

3.3.2 Alternative Locations. If, as a result of any Project Challenge or inability to remove or relocate historic structure(s), City reasonably determines that it is not feasible to acquire

and/or construct new parking lots on Lot E and Milligan containing at least 408 new parking spaces, City shall notify Manager of the situation and its reasons for such determination.

- (a) The Parties shall meet and confer to discuss whether City could fulfill its obligations under this Section 3 by constructing new parking spaces in one or more alternate locations; provided, however, that any alternate location shall be subject to Manager's approval in its sole discretion unless the alternate location has already been approved by Manager pursuant to Attachment No. 12 to the AMA.
- (b) If Manager agrees with City to an alternate location for the new parking spaces, the applicable provisions of this Section 3 shall apply to the alternate location.

3.3.3 Minimum Off-Site Parking Requirements. Nothing in this First Amendment shall modify City's Minimum Off-Site Parking Requirements under Section 19 of the AMA. However, all parking spaces that constitute Available Parking Spaces within the new parking lots constructed by City shall count toward the Minimum Off-Site Parking Requirements.

3.3.4 Settlement Agreement. Except as expressly provided in this First Amendment, the Settlement Agreement shall remain unmodified and in full force and effect.

3.4 Operation of New Parking Spaces by Manager.

3.4.1 Operating Agreement with Manager. Pursuant to a separate operating agreement, Manager shall operate each of the new parking lots constructed by City as an Off-Site Parking Facility.

- (a) Operating revenues will first be applied to pay for Manager's operating expenses for the parking lot, including a reasonable share of management and overhead. Manager shall submit operating budget to City annually for review and approval, which approval will not be unreasonably withheld. The net revenues from such operation shall be paid to City.

3.4.2 Priority for Arena Parking. Each of the new parking lots will be used exclusively for parking, with priority for Arena Event-related parking.

3.4.3 Termination of Operating Agreement. City may terminate the operating agreement with Manager as to any or all parking spaces constructed by City, or cease use of the same for public parking (with priority for Arena Event-related parking), only upon the occurrence of either of the following, and only so long as the City is then in compliance with the Minimum Off-Site Parking Requirements pursuant to Section 19 of the AMA:

- (a) BART Service to the Diridon Station area is operational; OR
- (b) There are at least 500 new Available Parking Spaces located on Delmas East, provided that if such 500 new spaces are shared spaces (i.e., not exclusively reserved for Arena customers) they must be designed such that all 500 vehicles can safely exit from the parking lot(s) onto the public streets within a period of 30 minutes;

provided, however, that notwithstanding the satisfaction of the above conditions, the development and use of Lot E shall continue to be subject to the Settlement Agreement.

SECTION 4. MISCELLANEOUS PROVISIONS

- 4.1 Authority. The persons who have executed this First Amendment represent and warrant that they are duly authorized to execute this First Amendment in their individual or representative capacity.
- 4.2 Joint Drafting. This First Amendment is the result of the joint efforts and negotiations of the Parties hereto, and no single Party is the author or drafter hereof. The Parties assume joint responsibility for the form and position of each and all of the contents of this First Amendment and they agree that this First Amendment shall be interpreted as though each of the Parties participated in the composition of this First Amendment and each and every part thereof.
- 4.3 References to "this Agreement." All references in the AMA to "this Agreement" shall hereafter mean and refer to the AMA, as amended by this First Amendment.
- 4.4 Interpretation. In the event of any conflict or inconsistency between the terms of this First Amendment and the terms of the AMA, the terms of this First Amendment shall control. Except as expressly provided in this First Amendment, the AMA, and each provision thereof, shall remain unmodified and in full force and effect, and constitute a legally valid and binding contract enforceable in accordance with its terms.

[Signatures on following page.]

RD:EAK
11/25/2018


**SIGNATURES TO FIRST AMENDMENT TO
SECOND AMENDED AND RESTATED ARENA MANAGEMENT AGREEMENT**

IN WITNESS WHEREOF, the Parties have entered into this First Amendment as of the day and year inserted on the first page of this Amendment as the "Execution Date."

"City"

APPROVED AS TO FORM:

CITY OF SAN JOSE,
a California municipal corporation

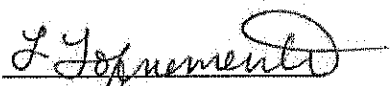

12/17/18
ELIZABETH KLOTZ
Sr. Deputy City Attorney

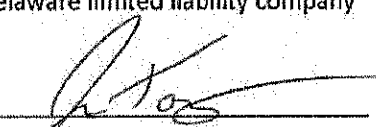
By 
DAVID SYKES
City Manager

"Manager"

APPROVED AS TO FORM:

SAN JOSE ARENA MANAGEMENT, LLC
a Delaware limited liability company


LUCY A. IOFRUMENTO
LMA Law, LLP

By 
JOHN TORTORA
President

BOOK 259
PAGE 38

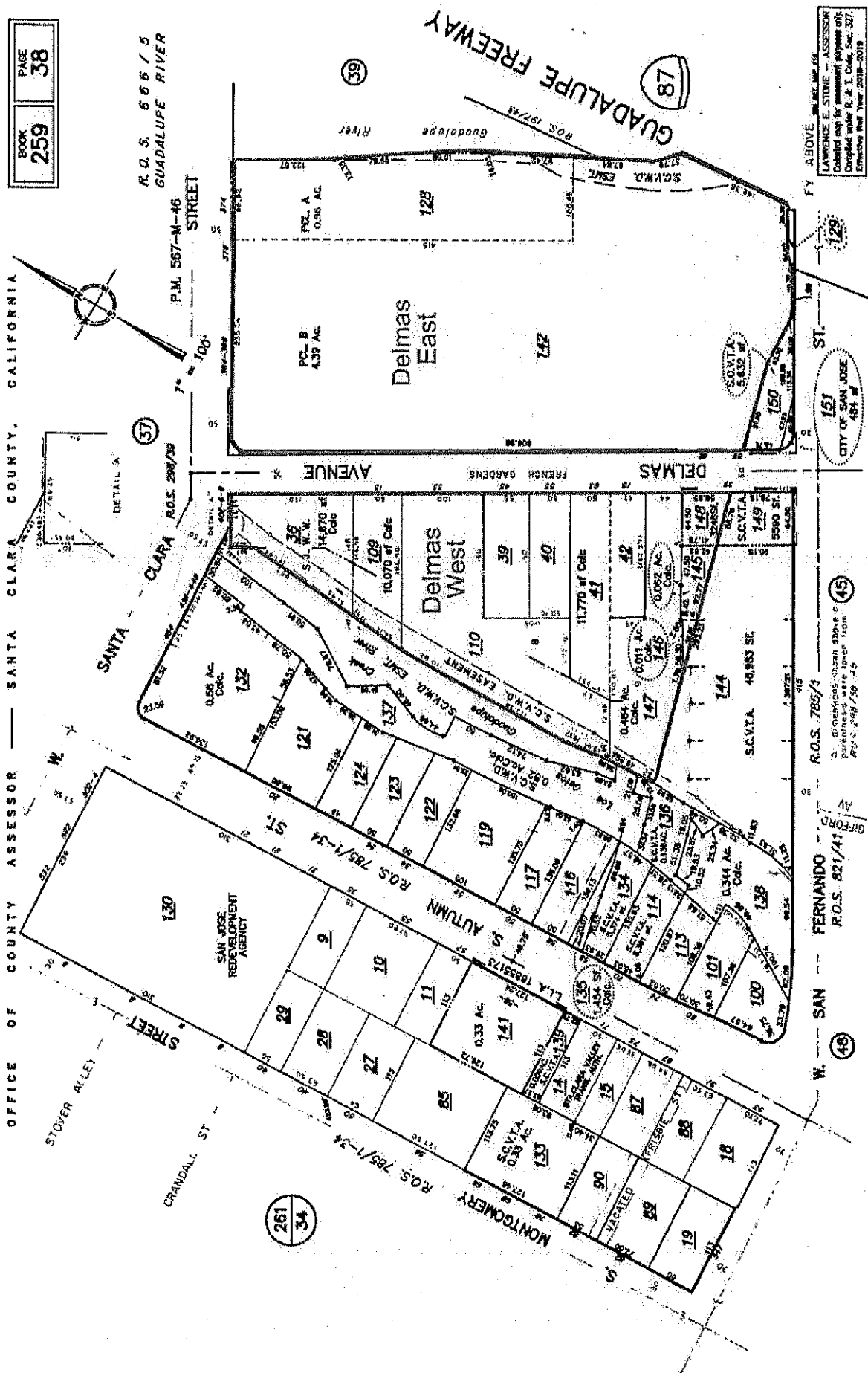
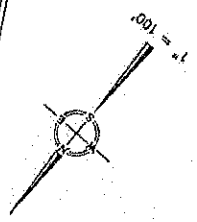


Exhibit B to First Amendment

OFFICE OF COUNTY ASSESSOR

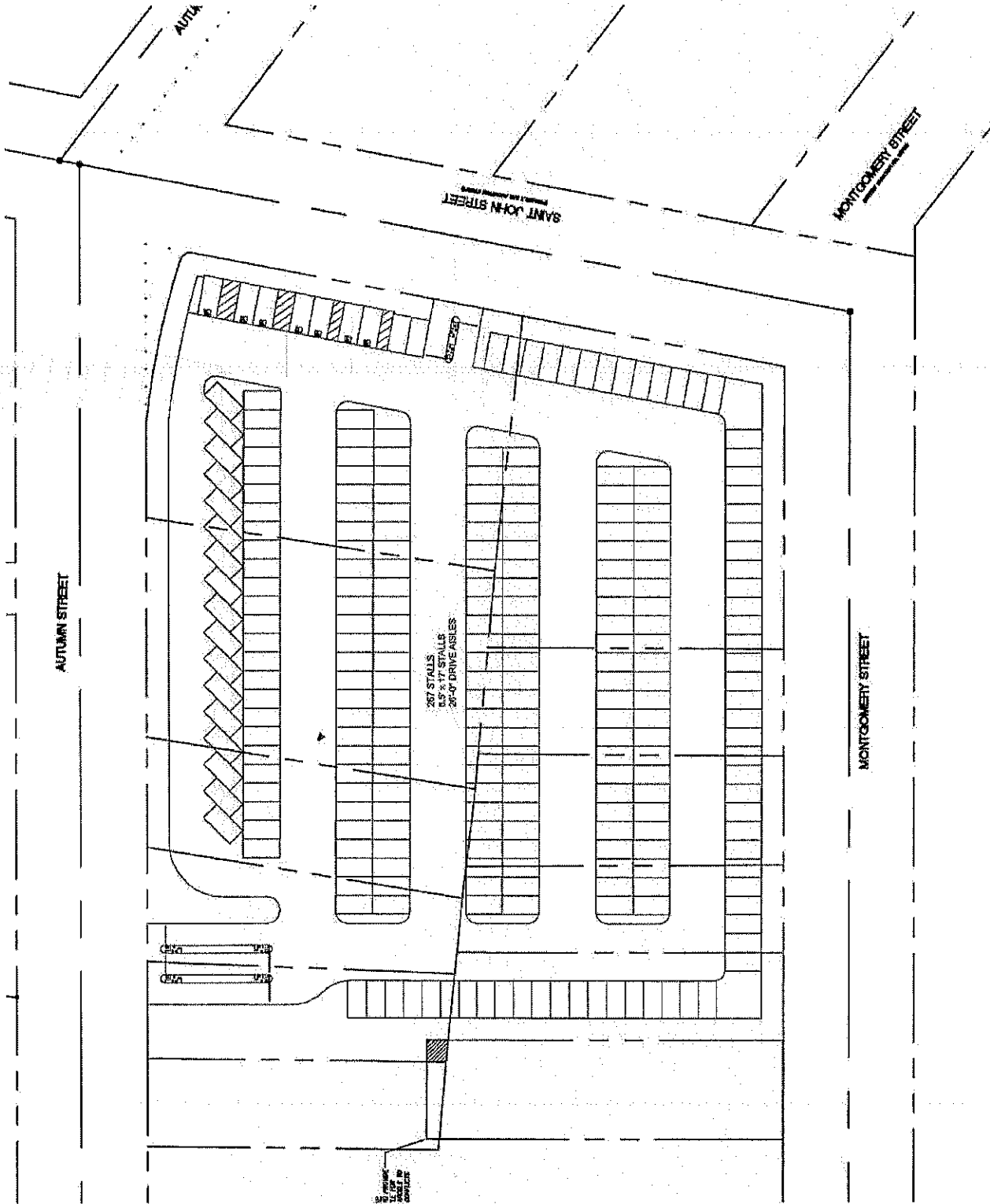
SANTA CLARA COUNTY, CALIFORNIA

BOOK 259 PAGE 29



LAURENCE E. STONE - ASSESSOR
Created map for comment purposes only
Compiled under the authority of the
Effective from Year 2018-2019

Exhibit C to First Amendment



WATRY DESIGN, INC.
Architects • Engineers • Planning Engineers

PROJECT NUMBER
2005-05098

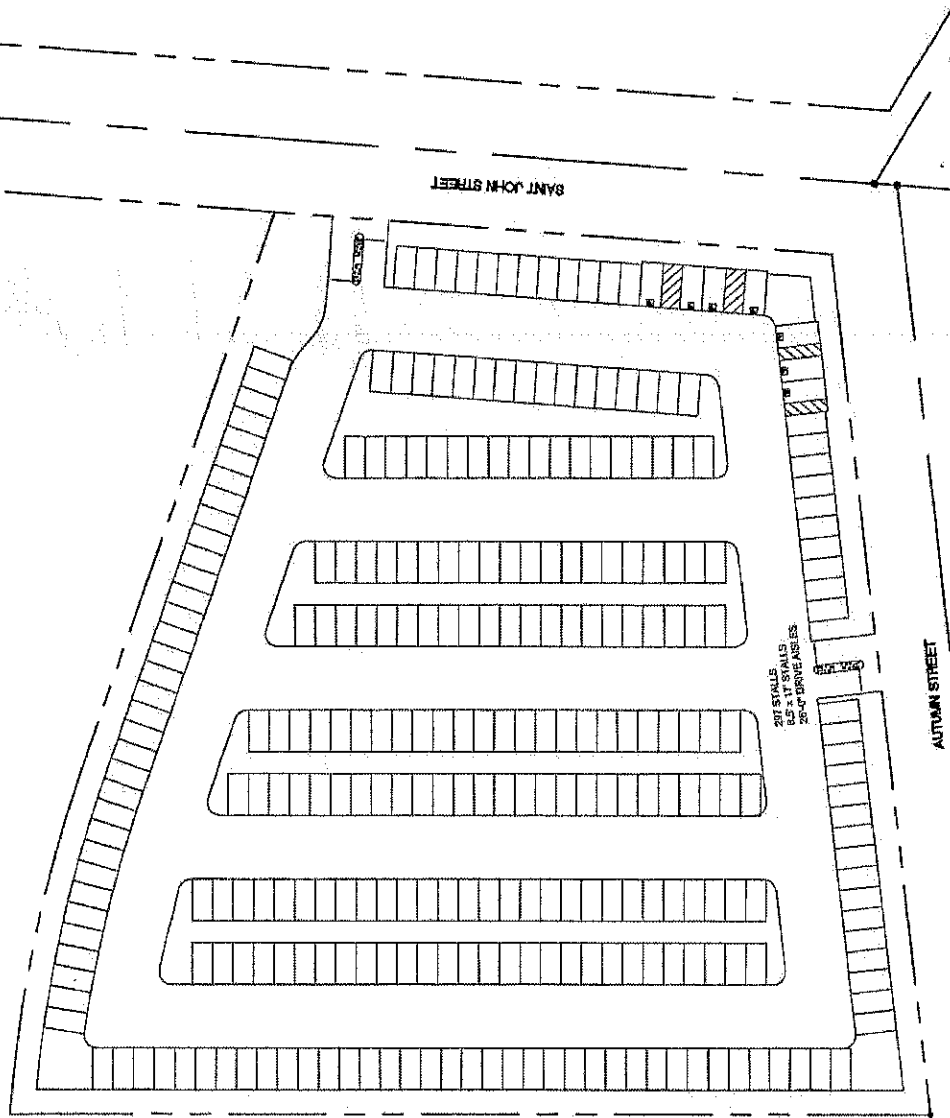
PROJECT NAME

SHEET NAME
SAP LOT E LAYOUT

CLIENT NAME
SAP CENTER

DATE ISSUED
11.28.18

Exhibit D to First Amendment



DATE ISSUED: 11.28.18
CLIENT NAME: SAP CENTER

SHEET NAME: SAP MILLIGAN LOT LAYOUT

PROJECT NAME:

PROJECT NO: 2005-05098

WATRY DESIGN, INC.
Architects • Engineers • Planning Planners

Exhibit E

Schedule of Performance

Task	Estimated Time and Commencement/Completion Dates
1. <u>Acquisition or Control of Properties.</u> City shall acquire ownership or control over all parcels comprising Lot E and Milligan.	15 months Commence: December 31, 2018 Complete: March 31, 2020
2. <u>Schematic Design.</u> City shall prepare schematic design documents for improvements to parking lots, and confer with Manager as needed to obtain approval.	2 months Commence: December 31, 2018 Complete: February 28, 2019
3. <u>Construction Documents.</u> City shall prepare plans for demolition and parking lot construction, and confer with Manager as needed to obtain approval.	4 months Commence: February 28, 2019 65% Complete: May 31, 2019 100% Complete: June 30, 2019
4. <u>Environmental Review; Plan Review and Permitting.</u> City shall complete CEQA review, and concurrently complete plan review and permitting (can't go to bid until the CEQA is completed).	10 months following 65% completion of plans (Includes time for scoping, writing and circulation) Commence: May 31, 2019 Complete: March 31, 2020
5. <u>Construction Bid and Award.</u> If required, City shall issue Request for Proposals and Award project.	3 months Commence: March 31, 2020 Complete: June 30, 2020
6. <u>Demolition and Site Preparation.</u> City shall move or demolish existing structures and prep the site for construction.	2 months Commence: June 30, 2020 Complete: August 31, 2020
7. <u>Construction of Parking Lot.</u> City shall construct the parking lots.	6 months Commence: August 31, 2020 Complete: February 28, 2021
8. <u>Contingency Time.</u> Contingency for unknown conditions.	4 months Final Project Complete: June 30, 2021

NOTES:

1. This Schedule of Performance is subject to the provisions of the First Amendment to which it is attached; in the event of any inconsistency, the provisions of the First Amendment shall control.
2. The scheduled tasks will apply independently for Lot E and Milligan; City will complete each task as quickly as reasonably possible on each parking lot independent of the other parking lot.

SAP Center chosen top Bay Area concert arena

Oracle Arena and Golden 1 Center rank No. 2 and 3

MUSIC

By Jim Harrington

jharrington@bayareanewsgroup.com

The SAP Center at San Jose has been named the top arena in the Bay Area by Pollstar Magazine, a national publication covering the concert/touring business.

The rankings were made in Pollstar's year-end report, covering the period between Nov. 23, 2017, and Nov. 21, 2018. The criteria is based on ticket sales for non-sporting events. Oracle Arena in Oakland and Golden 1 Center in Sacramento were ranked No. 2 and 3, respectively, for Northern California.

Overall, Pollstar ranked SAP Center at No. 12 in North America and No. 25 overall. Oracle was also ranked 34th in the world, while Golden 1 came in at 36.

During the time period covered, SAP Center — which is the home of the San Jose Sharks — hosted more than 100 non-sporting events encompassing pop,

rock, hip-hop, Latin, Bollywood and circus/theatrical performers. These included U2

's Experience + Innocence Tour, Justin Timberlake's The Man of the Woods Tour, Cirque du Soleil's "Crystal," Bad Bunny's La Nueva Religion Tour, Timbiriche's Tour Juntos USA, Los Tigres del Norte and Alejandro Fernandez' Rompiendo Fronteras Tour and Da Bangg's Reloaded Tour.

"(The year) 2018 was an amazing year for SAP Center at San Jose," said Steve Kirsner, vice president of booking and events for the facility. "It was a very strong year for the concert industry and we were honored to host so many world-class entertainers in our venue.

Last year marked the 25-year celebration of SAP Center, which opened its doors on Sept. 7, 1993 with a performance from the Ringling Brothers & Barnum and Bailey Circus.

Over the years, the venue has hosted such artists as Black Sabbath, Taylor Swift, Roger Waters, Prince, Martina McBride, Bob Seger, Jay-Z, Eric Church, Katy Perry, Paul McCartney, Adele, The Rolling Stones, Bruce Springsteen, Barbra Streisand, Bob Dylan, Beyoncé, Elton John, Garth Brooks, The Three Tenors (Plácido Domingo, Luciano Pavarotti



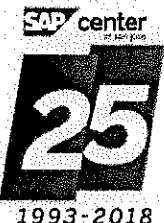
Justin Timberlake's Man of the Woods Tour stopped at the SAP Center in San Jose in April, helping the venue earn the No. 1 spot in Pollstar's annual ranking of area concert venues.

RAY CHAVEZ — STAFF ARCHIVES

and Jose Carreras), Madonna, Lady Gaga, Los Tigres Del Norte, The Eagles and U2.





Upcoming SAP Center concerts include 2Cellos, Feb. 9; Pink, April 17; Paul McCartney, July 10; Queen with Adam Lambert, July 14; and Hugh Jackman, July 17.

For more information and to purchase tickets, go to www.sapcenter.com.



1993-2018

MEDIA INFORMATION

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FOR IMMEDIATE RELEASE

MEDIA CONTACT: Jim Sparaco (@JimSparaco)

SAP Center at San Jose

(408) 999-5792

LINK TO THE PRESS RELEASE [HERE](#)

jsparaco@sjsharks.com

SAP CENTER AT SAN JOSE RANKED AS #1 BAY AREA VENUE, #12 IN NORTH AMERICA BY *POLLSTAR MAGAZINE*

POLLSTAR'S YEAR END REPORT RANKS TOP 200 ARENA VENUES BY TICKET SALES FOR NON-SPORTING EVENTS; SAP CENTER AT SAN JOSE RANKS NO. 1 IN THE BAY AREA,
NO. 12 IN NORTH AMERICA, AND NO. 25 IN THE WORLD

SAN JOSE, Calif (January 9, 2019) -- SAP Center at San Jose (@SAPCenter) has been ranked as the #1 arena in the Bay Area for 2018 by *Pollstar Magazine*. In the same poll of the Top-200 venues worldwide, SAP Center ranked No. 12 in North America and No. 25 overall. The rankings are according to the publication's year-end report, which includes events held between November 23, 2017 through November 21, 2018. In that time, SAP Center hosted more than 100 non-sporting events.

In 2018, SAP Center, the premier sports and entertainment venue in the Bay Area, hosted many of the most prominent touring acts to travel through North America including U2's eXPERIENCE + INNOCENCE Tour, Justin Timberlake's The Man of the Woods Tour, Cirque Du Soleil's Crystal, Bad Bunny's La Nueva Religion Tour, Timberlache's Tour Juntos USA, Los Tigres Del Norte & Alejandro Fernandez Rompiendo Fronteras Tour, and Da Bangg's Reloaded Tour.

2018 YEAR END Worldwide Ticket Sales **TOP 200 ARENA VENUES**

1	1,155,480	Madison Square Garden Arena	New York, NY	26	528,107	Mohegan Sun Arena	Uncasville, CT
2	1,119,313	Forum	Leglewood, CA	27	515,318	Altice Arena	Lisbon, PORTUGAL
3	1,118,708	WIZink Center	Madrid, SPAIN	28	512,122	Hallenstadion Zurich	Zurich, SWITZERLAND
4	1,040,956	The SSE Hydro	Glasgow, UNITED KINGDOM	29	497,443	Arena Birmingham	Birmingham, UNITED KINGDOM
5	938,771	AccorHotels Arena	Paris, FRANCE	30	492,244	Scotiabank Arena	Toronto, CANADA
6	845,651	Little Caesars Arena	Detroit, MI	31	490,380	NYCB Live Home of The Nassau Veterans Mem. Col.	Uniondale, NY
7	822,155	Manchester Arena	Manchester, UNITED KINGDOM	32	487,700	First Direct Arena	Leeds, UNITED KINGDOM
8	816,980	Barclays Center	Brooklyn, NY	33	482,040	Mercedes-Benz Arena	Shanghai, CHINA
9	807,370	Wells Fargo Center	Philadelphia, PA	34	470,040	Oracle Arena	Oakland, CA
10	790,798	Qudos Bank Arena	Sydney, AUSTRALIA	35	470,116	Bell Centre	Montreal, CANADA
11	780,972	Lanxess Arena	Cologne, GERMANY	36	464,503	Golden 1 Center	Sacramento, CA
12	776,716	S Arena	Dublin, IRELAND	37	461,717	Spark Arena	Auckland, NEW ZEALAND
13	765,880	The O2 - London	London, UNITED KINGDOM	38	447,681	Toyota Center	Houston, TX
14	752,018	Arena Monterrey	Monterrey, MEXICO	39	441,527	Palacio De Los Deportes	Mexico City, MEXICO
15	740,138	Arena Ciudad De Mexico	Mexico City, MEXICO	40	437,920	Xcel Energy Center	Saint Paul, MN
16	728,629	Bridgestone Arena	Nashville, TN	41	437,905	Sprint Center	Kansas City, MO
17	696,376	TD Garden	Boston, MA	42	434,475	United Center	Chicago, IL
18	682,474	Prudential Center	Newark, NJ	43	418,296	RAC Arena	Perth, AUSTRALIA
19	663,609	American Airlines Center	Dallas, TX	44	414,839	American Airlines Arena	Miami, FL
20	633,701	Antwerp Sportpaleis	Morsam, BELGIUM	45	408,310	Brisbane Entertainment Centre	Boondall, AUSTRALIA
21	566,506	Rod Laver Arena	Melbourne, AUSTRALIA	46	400,481	Amalie Arena	Tampa, FL
22	570,820	Ziggo Dome	Amsterdam, NETHERLANDS	47	382,205	BOK Center	Tulsa, OK
23	562,954	Allstate Arena	Rosemont, IL	48	381,218	PPG Paints Arena	Pittsburgh, PA
24	552,540	Capital One Arena	Washington, DC	49	372,102	T-Mobile Arena	Las Vegas, NV
25	546,780	SAP Center At San Jose	San Jose, CA	50	368,072	König - Pilsener Arena	Oberhausen, GERMANY

All figures are for tickets sold worldwide as reported to POLLSTAR for shows played between 11/23/17 and 11/21/18

"2018 was an amazing year for SAP Center at San Jose," said Steve Kirsner, Vice President of Booking & Events at SAP Center at San Jose. "It was a very strong year for the concert industry and we were honored to host so many world-class entertainers in our venue. SAP Center is a fantastic venue situated in a thriving market that is surrounded by the best fans in the world. The staff at SAP Center is second to none and we look forward to bringing more outstanding entertainment to Silicon Valley in 2019 and for years to come."

2018 marks the 25-year celebration of SAP Center at San Jose. SAP Center opened its doors on September 7, 1993 when the Ringling Brothers & Barnum and Bailey Circus performed the first event in the brand new, state-of-the-art facility. Since that time, the venue has hosted the biggest names in the entertainment industry including Katy Perry, Paul McCartney, Adele, The Rolling Stones, Bruce Springsteen, Barbra Streisand, Bob Dylan, Beyoncé, Elton John, Garth Brooks, Jay-Z, The Three Tenors (Plácido Domingo, Luciano Pavarotti and Jose Carreras), Madonna, Lady Gaga, Prince, Los Tigres Del Norte, The Eagles and U2.

SAP Center has also hosted several world-class, championship sporting events, including: the 2016 Stanley Cup Final; two Olympic Trials for USA Gymnastics (2012 & 2016); four NCAA Men's Division I Basketball Western Regional Finals (1997, 2002, 2007, & 2017); the Pac-10 Women's Basketball Tournament (2003-07); 1999 NCAA Division I Women's Final Four; and three U.S. Figure Skating Championships (1996, 2012, & 2018). In addition, SAP Center also hosted the NHL's All-Star Game in 1997 and will host it again this month (Jan. 26).

SAP Center continues to be recognized as the biggest success story in the ongoing revitalization of downtown San Jose. Over the last ten years, SAP Center's economic impact on the City of San Jose has been almost \$4 Billion. With its distinguishing 10-story glass pyramid entry and unique stainless steel façade, the facility has provided a distinct identity for the City of San Jose for 25 years. Located in the heart of Silicon Valley, SAP Center is an exemplification of the architectural excellence and technological innovation that defines the area.

About SAP Center at San Jose

Located in the heart of Silicon Valley, SAP Center at San Jose is the premier sports and entertainment venue in Northern California. Each year, SAP Center hosts approximately 175 events featuring professional and amateur athletes, Olympic athletes, Grammy award-winners, international recording artists, and a variety of performers who appeal to children and families alike. SAP Center at San Jose is home to the San Jose Sharks (@SanJoseSharks) of the National Hockey League as well as the San Jose Barracuda (@SJBarracuda) of the American Hockey League. Over the last ten years, SAP Center's economic impact on the City of San Jose has been almost \$4 Billion. For more information about SAP Center at San Jose and for a list of upcoming events, visit the SAP Center home page at www.sapcenter.com.

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COMING EVENTS

Event Information: 408-287-9200
Ticketmaster: 800-745-3000



FEBRUARY

SUN	MON	TUE	WED	THU	FRI	SAT
					1	2 Barracuda vs. Stockton 1:15pm Sharks vs. Arizona 7:30pm
3	4	5 Barracuda vs. Iowa 7:00pm	6	7	8 Marc Anthony 9:00pm \$65.00-\$185.00	9 2Cellos 8:00pm \$45.00-\$65.00
10	11	12 Barracuda vs. Tucson 7:00pm	13	14 Sharks vs. Washington 7:30pm	15 Valentines Super Love Jam 7:30pm \$35.50-\$66.50	16 Barracuda vs. San Diego 1:15pm Sharks vs. Vancouver 7:00pm
17 Gabriel "Fluffy" Iglesias 7:00pm \$44.00-\$79.00	18 Barracuda vs. San Diego 1:15pm Sharks vs. Boston 7:00pm	19	20 Disney on Ice: Dare to Dream 7:00pm \$15.00-\$90.00	21 Disney on Ice: Dare to Dream 7:00pm \$15.00-\$90.00	22 Disney on Ice: Dare to Dream 10:30am/7:00pm \$15.00-\$90.00	23 Disney on Ice: Dare to Dream 11am/3pm/7pm \$15.00-\$110.00
24 Disney on Ice: Dare to Dream 11am/3pm/6:30pm \$15.00-\$95.00	25	26 Barracuda vs. Iowa 7:00pm	27	28		

MARCH

SUN	MON	TUE	WED	THU	FRI	SAT
					1 Sharks vs. Colorado 7:30pm	2
3 Sharks vs. Chicago 7:00pm	4	5	6 Barracuda vs. Bakersfield 7:00pm	7 Sharks vs. Montreal 7:30pm	8	9 Sharks vs. St. Louis 1:00pm Barracuda vs. Bakersfield 6:00pm
10 Barracuda vs. Stockton 3:00pm	11	12	13	14 Sharks vs. Florida 7:30pm	15	16 Barracuda vs. Colorado 1:15pm Sharks vs. Nashville 7:30pm
17 Barracuda vs. Colorado 3:00pm	18 Sharks vs. Las Vegas 7:30pm	19	20	21	22 NCAA Men's Basketball TBD	23
24 NCAA Men's Basketball TBD	25 Sharks vs. Detroit 7:30pm	26	27	28 Sharks vs. Chicago 7:30pm	29 Barracuda vs. Ontario 7:00pm	30 Sharks vs. Las Vegas 6:00pm
31 Sharks vs. Calgary 5:00pm						

APRIL

SUN	MON	TUE	WED	THU	FRI	SAT
	1	2	3 Barracuda vs. San Diego 7:00pm	4	5 Barracuda vs. Grand Rapids 7:00pm	6 Barracuda vs. Grand Rapids 1:15pm Sharks vs. Colorado 7:30pm
7	8	9	10	11	12	13
14	15	16	17 PINK 7:30pm \$47.45-\$227.50	18	19	20 Bad Bunny 8:00pm \$55.00-\$165.50
21	22	23	24	25	26	27
28	29	30				

Group Tickets are available for groups of 15 or more to many events.
For more information, please contact our Group Sales Department at 408-977-4715 or email grouptickets@sharkssports.net.

San Jose Arena Authority

STATEMENT OF ACTIVITY

October 2018

SJAA Board Meeting

February 27, 2019

Agenda Item 4.2.a.

	TOTAL
Revenue	
Interest Earned	6
Ticket Revenue	360
Total Revenue	\$366
GROSS PROFIT	\$366
Expenditures	
General Operations/Administrative	
Bank Charges & Fees	10
Bookkeeping Services	138
Delivery and Postage	129
Equipment Lease/ Maintenance/PO Box	86
Office Expense	12
Office Supplies	44
Subscriptions/Dues	21
Telephone/FAX	128
Total General Operations/Administrative	568
Personnel and related expenses	
Employee Benefits	194
Payroll Expense	
Payroll Fees	67
Payroll Taxes	860
Salaries	18,882
Total Payroll Expense	19,808
Total Personnel and related expenses	20,002
Program Expenses	
Business Meetings.Meals	284
Total Program Expenses	284
Total Expenditures	\$20,854
NET OPERATING REVENUE	\$ -20,488
NET REVENUE	\$ -20,488

San Jose Arena Authority

STATEMENT OF ACTIVITY

November 2018

SJAA Board Meeting
February 27, 2019
Agenda Item 4.2.a.

	TOTAL
Revenue	
Interest Earned	5
Total Revenue	\$5
GROSS PROFIT	\$5
Expenditures	
General Operations/Administrative	
Bank Charges & Fees	10
Bookkeeping Services	63
Equipment Lease/ Maintenance/PO Box	177
Office Expense	28
Subscriptions/Dues	141
Telephone/FAX	73
Total General Operations/Administrative	492
Personnel and related expenses	
Employee Benefits	290
Payroll Expense	
Payroll Fees	36
Payroll Taxes	419
Salaries	16,521
Total Payroll Expense	16,975
Total Personnel and related expenses	17,266
Total Expenditures	\$17,758
NET OPERATING REVENUE	\$ -17,753
NET REVENUE	\$ -17,753

San Jose Arena Authority

STATEMENT OF ACTIVITY

December 2018

SJAA Board Meeting
February 27, 2019
Agenda Item 4.2.a.

	TOTAL
Revenue	
Interest Earned	4
Total Revenue	\$4
GROSS PROFIT	\$4
Expenditures	
General Operations/Administrative	
Bank Charges & Fees	10
Bookkeeping Services	100
CPA/Annual Audit Services	2,700
Gift	125
Office Expense	92
Office Supplies	50
Subscriptions/Dues	81
Telephone/FAX	73
Total General Operations/Administrative	3,232
Personnel and related expenses	
Employee Benefits	194
Payroll Expense	
Payroll Fees	36
Payroll Taxes	419
Salaries	16,521
Total Payroll Expense	16,975
Total Personnel and related expenses	17,169
Program Expenses	
Business Meetings/Meals	1,198
Total Program Expenses	1,198
Total Expenditures	\$21,599
NET OPERATING REVENUE	\$ -21,595
NET REVENUE	\$ -21,595

San Jose Arena Authority

BUDGET VS. ACTUALS: FY 2018-19 SJAA OPS BUDGET - FY19 P&L

October - December, 2018

SJAA Board Meeting
February 27, 2019
Agenda Item 4.2.a.

	OCT 2018		NOV 2018		DEC 2018		TOTAL	
	ACTUAL	BUDGET	ACTUAL	BUDGET	ACTUAL	BUDGET	ACTUAL	BUDGET
Revenue								
Additional Rent for Solar4America Ice at San Jose		5,070		5,070		5,070	\$0	\$15,210
City Funding		17,167		17,167		17,167	\$0	\$51,500
Interest Earned	6	8	5	8	4	8	\$14	\$25
Ticket Revenue	360						\$360	\$0
Total Revenue	\$366	\$22,245	\$5	\$22,245	\$4	\$22,245	\$374	\$66,735
GROSS PROFIT	\$366	\$22,245	\$5	\$22,245	\$4	\$22,245	\$374	\$66,735
Expenditures								
General Operations/Administrative							\$0	\$0
Bank Charges & Fees	10	50	10	50	10	50	\$30	\$150
Bookkeeping Services	138	250	63	250	100	250	\$300	\$750
CPA/Annual Audit Services		225		225	2,700	225	\$2,700	\$675
Delivery and Postage	129	42		42		42	\$129	\$125
Equipment Lease/Maintenance/PO Box	86	167	177	167		167	\$263	\$500
Gift					125		\$125	\$0
Insurance		500		500		500	\$0	\$1,500
Miscellaneous Operating Reserve		200		200		200	\$0	\$600
Office Expense	12		28		92		\$133	\$0
Office Supplies	44	208		208	50	208	\$94	\$625
Subscriptions/Dues	21	83	141	83	81	83	\$243	\$250
Telephone/FAX	128	125	73	125	73	125	\$275	\$375
Total General Operations/Administrative	568	1,850	492	1,850	3,232	1,850	\$4,291	\$5,550
Personnel and related expenses							\$0	\$0
Employee Benefits	194	1,083	290	1,083	194	1,083	\$678	\$3,250
Payroll Expense							\$0	\$0
Payroll Fees	67		36		36		\$139	\$0
Payroll Taxes	860	1,583	419	1,583	419	1,583	\$1,698	\$4,750
Salaries	18,882	17,215	16,521	17,215	16,521	17,215	\$51,923	\$51,646

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	OCT 2018		NOV 2018		DEC 2018		TOTAL	
	ACTUAL	BUDGET	ACTUAL	BUDGET	ACTUAL	BUDGET	ACTUAL	BUDGET
Total Payroll Expense	19,808	18,799	16,975	18,799	16,975	18,799	\$53,759	\$56,396
Vehicle Operation		200		200		200	\$0	\$600
Total Personnel and related expenses	20,002	20,082	17,266	20,082	17,169	20,082	\$54,437	\$60,246
Professional Services		250		250		250	\$0	\$0
Contractual Services		250		250		250	\$0	\$750
Total Professional Services		250		250		250	\$0	\$750
Program Expenses							\$0	\$0
Business Meetings.Meals	284	583		583	1,198	583	\$1,483	\$1,750
Total Program Expenses	284	583		583	1,198	583	\$1,483	\$1,750
Total Expenditures	\$20,854	\$22,765	\$17,758	\$22,765	\$21,599	\$22,765	\$60,211	\$68,296
NET OPERATING REVENUE	\$ -20,488	\$ -520	\$ -17,753	\$ -520	\$ -21,595	\$ -520	\$ -59,837	\$ -1,561
NET REVENUE	\$ -20,488	\$ -520	\$ -17,753	\$ -520	\$ -21,595	\$ -520	\$ -59,837	\$ -1,561

SAN JOSE ARENA AUTHORITY
CITY AND COMMUNITY EVENTS PROGRAM

SJAA Board Meeting
February 27, 2019
Agenda Item 4.7.a.

Inventory of Funded Events

Fiscal Year 2018-19 (July 1, 2018 - June 30, 2019)

Revenue Fund Activity

Revenue

City and Community Events Fund Carryover: \$16,277

August 1, 2018 City and Community Events Fund Allocation: \$100,000

Beginning Fund Balance, City and Community Events Program Fund: **116,277**

Program Expense Activity

	<u>Event</u>	<u>Date</u>	<u>Expense</u>
1.	Youth Connections Foundation of San Jose Comedy Show for Kids Contact: Tanya Freudenberger	November 9, 2018	\$25,000
2.	San Jose Sports Authority San Jose Sports Hall of Fame Contact: Carrie Benjamin	November 14, 2018	<u>\$50,000</u>

Total of Event Funds Expended for FY 2018-19: \$75,000

Remaining Fund Balance, City and Community Events Fund: **\$41,277**

Total Funds Issued to Date (12/31/18): **\$1,758,700**

SAN JOSE ARENA AUTHORITY
CITY AND COMMUNITY EVENTS PROGRAM

SJAA Board Meeting
February 27, 2019
Agenda Item 4.7.a.

Inventory of Funded Events

Fiscal Year 2017-18 (July 1, 2017 - June 30, 2018)

Revenue Fund Activity

Revenue

City and Community Events Fund Carryover:

\$67,277

August 1, 2017 City and Community Events Fund Allocation:

\$100,000

Beginning Fund Balance, City and Community Events Program Fund:

167,277

Program Expense Activity

	<u>Event</u>	<u>Date</u>	<u>Expense</u>
1.	Youth Connections Foundation of San Jose Comedy Show for Kids Contact: Tanya Freudenberger	August 4, 2017	\$25,000
2.	Kristi Yamaguchi's Always Dreams Foundation Kristi Yamaguchi's Classic on Ice Contact: Dean Osaki	September 3, 2017	\$35,000
3.	San Jose Sports Authority San Jose Sports Hall of Fame Contact: Carrie Benjamin	November 9, 2017	\$50,000
4.	Sharks Foundation Sampling with the Sharks Contact: Heather Hooper	March 6, 2018	\$25,000
5.	San Jose Unified School District Middle School Graduations Contact: Diane Duenas	June 7, 2018	<u>\$16,000</u>

Total of Event Funds Expended for FY 2017-18:

\$151,000

Remaining Fund Balance, City and Community Events Fund:

\$16,277

San Jose Arena Authority

City and Community Events Program

Applicant and Event Information

Event: Sampling with the Sharks

Program Fund Amount: Not to Exceed \$25,000

Organization Name: San Jose Sharks Foundation

Contacts: Missy Zielinski

Event Date: March 5, 2019

Time of Event: 5:30 pm to 9:00 pm

Estimated Attendance: 400

Background: The Sharks Foundation is dedicated to enhancing the lives of underserved youth and families in the community, with an emphasis in the areas of education, health and safety, and character development. The Foundation supplies emergency aid when appropriate, executes unique and relevant programming, supports the advancement of youth hockey, and provides financial support and resources to organizations that enrich the lives of those in need.

Event Profile: The event is known as 'Sampling with the Sharks', a wine-tasting event where patrons can share wine, food, and entertainment with Sharks players, coaches, broadcasters, and alumni. Proceeds from the event are dedicated to the local community and, at times, directed to those impacted by recent natural disasters.