

Statements of Economic Interests

Assuming Office Filing Process

1. Determine Who is Required to File an Assuming Office SEI

The Political Reform Act of 1974, as amended, requires an assuming office Statement of Economic Interests (SEI) to be filed by individuals who assume a position designated by a Conflict of Interest Code. We recommend that you work closely with your human resources division to ensure that new designated filers are made aware of their assuming office filing requirement and are given the necessary materials to satisfy the requirement. Please note, not all City employees or commissioners are required to file an assuming office SEI. Only individuals who assume a position listed on Schedule A of your department's Conflict of Interest Code are required to complete an assuming office SEI.

2. Distribute SEI Filing Materials to New Filers

An assuming office SEI consists of a complete Form 700. You have the option of providing new filers with their assuming office SEI filing materials in either hard copy or through the web. You may also choose to utilize both means of distribution by disseminating materials to some filers in hard copy and to others through the web. Either way, all the materials needed to solicit assuming office SEIs can be found on the City Ethics Commission (CEC) website created for filers:

<http://ethics.lacity.org/infofor/seifilers>

For web-based distribution, solicit the SEI via e-mail using the sample language below:

Dear **NAME**,

In compliance with state law, you are required to complete an assuming office Statement of Economic Interest (SEI) at this time.

Your assuming office SEI consists of a completed and original Form 700. You may obtain the Form 700, instructions, and other useful information at the City Ethics Commission's SEI filer website, under the heading "Assuming Office SEI Filing Materials" :

<http://ethics.lacity.org/infofor/seifilers>

To avoid late-filing penalties, please submit your completed and signed SEI directly to me by **DATE** at the following location: **ADDRESS**.

If you prefer hard copies of your assuming office SEI filing materials, you may request these by responding to this e-mail. Also, if you have any questions regarding the Form 700 or your filing requirement, please contact the City Ethics Commission at (213) 978-1960.

If you choose to distribute the filing materials in hard copy, please visit the CEC's SEI filer website (above) and print out the following documents located under the heading "Assuming Office SEI Filing Materials" :

- Assuming Office Instructions for Designated Filers
- Your Department's Conflict of Interest Code
- CA Form 700
- CA Form 700 Reference Pamphlet

Attach a cover memo indicating the filing deadline date and the address where the form can be submitted.

___ 3. **Add New Designated Filers to the SEI Index**

Please add all new filers to the SEI Index, the CEC's online SEI tracking database. Once the filer is added, enter the date the filer started in their position in the "Start Date" field. For step-by-step instructions on adding filers and their assuming office information into the SEI Index, please refer to the SEI Index User Guide found on the CEC's website at: <http://ethics.lacity.org/manuals/sei>

___ 4. **Keep a record of your Solicitation**

In the "Notes" section of the filer's SEI Index record, enter the date and the format of your solicitation (i.e. e-mail or letter). Also, keep a copy of the e-mail or letter. The CEC may request a copy of the solicitation in the event the filer fails to file their assuming office SEI.

___ 5. **Collect the Assuming Office SEIs**

According to state law, new filers have 30 days from the date they started their position to submit their assuming office SEI. However, if a new filer was not notified of their filing requirement at the time they started their new position, you may give them 30 days from the date of notification to file their assuming office SEI. Please note that per state law all SEIs must have an original signature. A filer may fax in their form in order to make the deadline, but the original must be submitted immediately thereafter.

___ 5. **Date-Stamp the SEI Cover Page Immediately Upon Receipt**

It is critical that you date-stamp all SEI cover pages as soon as they are submitted to you. The CEC uses the date of your date-stamp as each filer's submission date. **Late-filing fees may be imposed on filers whose forms are stamped past their filing deadline.**

___ 6. **Enter the SEIs into the SEI Index**

Enter the date the assuming office SEI was date-stamped by your department in the "Assuming Office/Initial" field. **The data entered into the SEI Index is not only essential in keeping track of your filers, it is also used to generate the filing compliance rates that are forwarded to the Mayor's Office.** Entering SEIs into the SEI Index also satisfies the requirement set forth in state law for filing officials to "compile and maintain a current list of all statements forwarded to the filing officer" (CA Government Code, Section 18115.b.5).

___ 7. **Photocopy and File Duplicate SEIs**

For your department's records, you will need to photocopy all assuming office SEI forms submitted to you. Please file the duplicate copies in a safe place. Copies must be maintained for no less than four years.

___ 8. **Provide All Original SEIs to the CEC**

As the Filing Officer for the City, the CEC is required to retain the original copies of all SEI forms. Please provide all originals to the CEC via grey mail at Mail Stop #129 or in person at the following address: City Hall, 200 N. Spring St., 24th Floor, Los Angeles, CA 90012.

___ 9. **Send a Second Solicitation to Non-Filers**

If after 30 days the filer has failed to file their assuming office SEI, send them another e-mail or letter soliciting the SEI. Record the date and format of your reminder in the "notes" section of the filer's SEI Index record and keep a copy of the solicitation. While a late-filing rate cannot be improved, a department's total compliance rate can drastically improve when non-filers fulfill their financial disclosure responsibilities by filing late SEIs. Filing compliance rates are public records that are maintained by the CEC and provided to the Mayor's Office.

___ 10. **Refer Non-filers to the CEC**

If after two solicitations a filer has failed to submit their assuming office SEI to you, please notify the CEC by e-mailing Shannon Prior at shannon.prior@lacity.org.