

Conflict Of Interest CODE

Filing SEI Forms

Once the City Council has adopted your department's revised Conflict of Interest (COI) Code, you will need to provide your department's filing official with an updated copy. It is then your responsibility to ensure that your filing official solicits Assuming Office Statements of Economic Interests (SEI) from all newly designated filers within 30 days of your COI Code adoption date. It is also the responsibility of both you and your filing official to ensure that all designated filers fulfill their financial disclosure requirements by completing the necessary form(s) during the appropriate timeframes. The questions and answers below provide general information on the SEI filing process and its importance:

Who?

Designated filers (individuals in your department who hold positions listed in Schedule A of your department's COI Code.)

What?

Designated filers are required to file SEIs disclosing the personal financial interests described in their assigned disclosure category. SEIs are filed in the form of a CA Form 700 by most designated filers. However, elected officials, department heads, and board/commission members, must also file a CEC Form 10 or 11 as an addendum to their Annual Form 700 filing (these forms can be found on the Forms page of the CEC's website). Please note that SEIs are public documents and are available to the public upon request.

When?

Designated filers are required to file the following SEIs during the listed timeframes:

Assuming Office SEIs

Required within 30 days of assuming a designated position.

Annual SEIs

Required during the Annual Filing Period

(usually around February or March of every year with a deadline of April 1).

Semi-Annual SEIs—only applicable to elected officials, department heads, & board/commission members

Required during the Semi-Annual Filing Period

(usually around August or September of every year with a deadline of October 1).

Leaving Office SEIs

Required within 30 days of leaving a designated position.

The City Ethics Commission and the Fair Political Practices Commission (FPPC) have the authority to levy fines when an SEI is not filed on time. Fines for the late filing of CA Form 700 are \$10/day, with a maximum fine of \$100. Fines for the late filing of CEC Forms 10 and 11 are \$25/day, with no maximum fine. The FPPC also has the authority to levy administrative fines of up to \$5,000 per violation for the failing to file SEIs.

Where?

SEI forms can be obtained from your department's filing official, the City Ethics Commission office, the City Ethics Commission website (<http://ethics.lacity.org/>) or the FPPC's website (www.fppc.ca.gov). Once completed, SEIs should be filed directly with your department's ethics liaison who is then required to process the statements and forward them to the Ethics Commission.

Why?

SEI forms alert public officials to their own economic interests and potential areas of conflict in relation to their official duties. They also provide information to members of the public who may monitor official actions for any conflicts.

How?

SEI forms should be completed by reporting the financial interests described in a filer's disclosure category on the form's appropriate schedule. SEI forms also include extensive instructions on how to complete them. However, filers who have further questions about the form may contact the City Ethics Commission and/or the FPPC for individual assistance.