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## MEMORANDUM

### **TIME SENSITIVE NOTICE**

August 24, 2009

**To:** All Department Heads, Board Members, and Commissioners

**From:** LeeAnn Pelham, Executive Director  
City Ethics Commission

**Re:** **SEMI-ANNUAL STATEMENT OF ECONOMIC INTERESTS FILING -  
INFORMATION AND INSTRUCTIONS**

As you may recall, City law requires Department Heads, Board Members, and Commissioners to file a semi-annual update to their annual Statement of Economic Interests. The City Ethics Commission oversees the semi-annual filing by over 300 individuals who make or participate in making governmental decisions on the public's behalf. Full, complete and timely filings by those individuals are the cornerstones of open and accountable City government. As one of these filers, City law requires you to complete and submit your semi-annual Statement of Economic Interest update no later than **Thursday, October 1, 2009**.

This semi-annual filing notice is designed to provide you with the background and information you'll need to get started on your October filing requirements.

This filing requirement applies to department heads and to board and commission members who were in office and therefore required to file an Annual Statement of Economic Interests last April. **Please note that if you have recently been reappointed and completed a pre-confirmation statement in connection with that process, you are still required to file a semi-annual update.**

#### *Completing the Semi-Annual Statement of Economic Interests Update*

For Department Heads, Board Members, and Commissioners, the semi-annual update consists of a completed semi-annual statement cover page and any applicable schedules from the CA Form 700 and/or the City's CEC Form 11. These forms are used to disclose changes or additions to your reportable sources of income, investments and interests in real property for the period January 1 through June 30, 2009. Please note that you are not required to report interests disclosed on the annual

statement you filed in April 2009 that did not change during that six-month period. Please use the enclosed step-by-step instructions to guide you in completing your form.

For your convenience, an interactive version of the semi-annual update form, including the CA Form 700 and CEC Form 11 schedules, is available on the City Ethics Commission website at: <http://ethics.lacity.org/infofor/seifilers/>. The form can be downloaded and/or completed "online," but it must be printed and signed for filing. Unfortunately, we do not have the technology at this time to allow the filing of these statements electronically.

Please remember to file your completed and signed semi-annual cover page and any applicable schedules from the CA Form 700 and/or CEC Form 11 with your department's Ethics Liaison no later than Thursday, October 1, 2009. Your Ethics Liaison will date stamp the form on the day it is received, and will inventory and copy the form prior to forwarding it to the City Ethics Commission. **Please be aware that statements filed after the Thursday, October 1 deadline are subject under City law to late filing fees of \$25 per day.**

As always, if my staff or I can be of assistance to you, please feel free to call us at (213) 978-1960. Thank you in advance for your attention to this important matter.

# 2009 Statement of Economic Interests Semi-Annual Update

## Instructions for Department Heads, Board Members, and Commissioners

### Step 1: Review Your Annual Statement of Economic Interests

\_\_\_\_\_ The semi-annual Statement of Economic Interests (SEI) Update requires you to report changes or additions that occurred, between **January 1, 2009 and June 30, 2009**, to the financial interests you reported on the Annual SEI you filed in April of this year. To do so, please review your annual CA Form 700 and CEC Form 11 (provided by your designated Ethics Liaison).

### Step 2: Find Your Department's Conflict of Interest Code Online

\_\_\_\_\_ To find your code, please visit <http://ethics.lacity.org/govethics/coiindex.cfm> or request a copy from your Ethics Liaison.

### Step 3: Review Your Disclosure Category

\_\_\_\_\_ Based on your level and particular type of decision-making authority, your disclosure category specifies the types of financial interests that must be reported on your semi-annual SEI update. To find your disclosure category, you must first locate your position title and its corresponding category number on Schedule A of your department's Conflict of Interest Code. Using the corresponding number, find your position's assigned disclosure category on Schedule B (follows Schedule A).

\_\_\_\_\_ Review your disclosure category and take note of your new financial interests that fall within its description. Remember for your semi-annual update you are only required to report changes or additions to your financial interests that fall within your disclosure category and occurred between January 1, 2009 and June 30, 2009. If you failed to disclose a reportable interest you held in 2008 on your Annual SEI, please contact the CEC for information on filing an amendment to that statement.

### Step 4: Complete Your Semi-Annual Update

\_\_\_\_\_ Whether you have or do not have reportable interests for the period between January 1 and June 30, 2009, that are different from what you were required to report for 2008, **you must complete the cover page.**

\_\_\_\_\_ Download the interactive version of the semi-annual update from the CEC website [here](#). Or, if you prefer, you may request a hard copy from your Ethics Liaison.

\_\_\_\_\_ **Complete the top section of the cover page.** Your update will be a public document; therefore, you should use your agency mailing address rather than your home address.

\_\_\_\_\_ **Complete Part 1**, indicating the name of your agency/agencies, commission or board, and your position(s).

\_\_\_\_\_ Carefully read the instructions for the Form 700 and Form 11 to determine which schedules, if any, you will have to complete.

\_\_\_\_\_ Complete the respective schedules.

\_\_\_\_\_ **Complete Part 2 (A)** of the cover page. Check off which schedules from Form 700 you have completed. If you have no changes to report, check the "No reportable changes on any schedule" box.

**Step 4: Complete Your Semi-Annual Update** (continued)

- \_\_\_\_\_ **Complete Part 2 (B) of the cover page.** Check off which schedules from Form 11 you have completed. If you have no changes to report, check the “No reportable changes on any schedule” box.
- \_\_\_\_\_ **Complete Part 2 (C) of the cover page.** Indicate the total number of pages you have completed, including the cover page.
- \_\_\_\_\_ If you use the “online” form, print out the completed pages and attach the cover page. If you use the paper form, attach the completed schedules to the cover page.
- \_\_\_\_\_ **SIGN AND DATE** Part 4 of the cover page.

**Step 5: Submit Your Semi-Annual Update**

- \_\_\_\_\_ Make a copy of your semi-annual update for your personal records.
- \_\_\_\_\_ Make sure any and all completed schedules are attached to the cover page. Please make sure you have signed and dated the cover page. City law requires your semi-annual update to have an **original** signature. Electronic and/or paper copies will not be accepted.
- \_\_\_\_\_ Return your completed and signed update to your department’s Ethics Liaison. **Your update must be filed NO LATER than Thursday, October 1, 2009.** Late penalties of \$25 per day will be assessed for semi-annual SEI updates filed after this date.

If you have questions or need assistance, please contact the CEC at (213) 978-1960.

\*The interactive Semi-Annual Form works best with newer versions of the free Adobe Reader software. If you do not already have this software you can download a free version of it by visiting [www.adobe.com](http://www.adobe.com) and clicking on “Adobe Reader.” Please check system requirements to determine the best version of Adobe Reader for your computer. These free versions of the Adobe software allow you to complete and print the form pages, **but do not allow you to save completed or partially completed pages to a disk, or to file electronically.** Therefore, you should plan on completing the forms electronically in one sitting.