



City Ethics Commission
City Hall
200 N. Spring St., Room 2410
Los Angeles, CA 90012
MAIL STOP 129

CEC FORM 10 Financial Disclosure Addenda for High Level Filers

**Mayor
City Attorney
City Controller
Members of the City Council
Members of the City Ethics Commission
Executive Director of the City Ethics Commission**

Los Angeles Municipal Code Section 49.5.6 requires the City's High Level Filers to file financial disclosure statements. This is the City form which, in combination with a completed state Form 700, meets the requirements of City law.

INSTRUCTIONS FOR CEC FORM 10

SUMMARY

CEC Form 10 is to be used by “High-Level Filers” to disclose certain financial interests that may pose a potential conflict between the Filer’s personal interests and his or her public duties. These financial interests are described in the Filer’s “Disclosure Category,” contained in Schedule B of his or her agency’s Conflict of Interest Code. Additionally, such interests are described in the instructions for each schedule.

GENERAL INSTRUCTIONS

High Level Filers are required by City law to file this addendum to state Form 700 each year on April 1, (Annual Filing) and are required to update that filing each year on October 1 (Semi-Annual Update). In most cases, the financial interests disclosed on this CEC Form 10 will not duplicate those disclosed on state Form 700. City law requires Filers to disclose certain:

- INVESTMENTS AND REAL PROPERTY (page 5)
- INCOME AND LOANS (page 7)
- GENERAL PARTNERSHIPS (page 9)
- RESTRICTED SOURCE INCOME RECEIVED BY SPOUSE OR DEPENDENT CHILD (page 11)
- TRANSACTIONS (page 13)

Please refer to the instructions for each of the above schedules to determine whether you have any reportable interests to disclose.

COVER PAGE

Even if you have no reportable interests to disclose, the cover page must be completed, signed and dated.

- I. Period Covered by this Addendum:** The period covered is January 1 or the date the Filer assumed office through December 31 for the Annual Filing or June 30 for the Semi-Annual Update.
- II. Reportable Interests:** Indicate whether you have any reportable interests to disclose. If so, check each box to indicate which schedules are used and attached to the cover page.
- III. Total Number of Pages:** Indicate the total number of pages used from CEC Form 10 including the cover page. Please recycle any unused portion of this form.
- IV. Verification:** Read, sign, and date the verification once the form has been completed.

SCHEDULES

Instructions are included with each schedule.

If you have any questions about your financial disclosure requirements, or need assistance completing this form, please contact the City Ethics Commission at (213) 978-1960.

How to Value Your Investments and Real Property

Investments: If bought or sold during the reporting period, the Filer shall disclose the purchase price of the investment. Otherwise, an investment shall be reported at its current market value. If the actual value of an asset is not known by the Filer, a good faith estimate based on reasonable inquiry shall satisfy these requirements.

Real Property: If bought or sold during the reporting period, the Filer shall disclose the purchase price of the real property. Otherwise, the value of real property shall be disclosed based on the County Assessor’s assessed valuation. If the actual value of an asset is not known by the Filer, a good faith estimate based on reasonable inquiry shall satisfy these requirements.



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CEC FORM 10 High Level Filers COVER PAGE

Name of Filer (Last, First, M.I.):	Daytime Phone:
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Agency:	Position Held:
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I. Period Covered by this Addendum: _____, 2007, through December 31, 2007
 (Jan. 1 or Date Assumed Office)

II. Reportable Interests:

No Reportable Interests to Disclose

Please complete and return this cover page only. (Please recycle the unused portion of this form.)

The Following Reportable Interests - Applicable Schedules are Attached:

Please review the instructions for each schedule to determine whether you are required to report a financial interest. (Check each box that applies and attach the appropriate schedule. Please recycle any unused schedules.)

INVESTMENTS AND REAL PROPERTY

INCOME (INCLUDING GIFTS) AND LOANS

SPOUSE AND/OR DEPENDENT CHILD INCOME/GIFTS/TRAVEL
 RECEIVED FROM A RESTRICTED SOURCE

GENERAL PARTNERSHIPS

TRANSACTIONS WITH REPORTABLE SOURCES

III. Total Number of Pages, Including this Cover Page: _____

IV. VERIFICATION

I have used all reasonable diligence in preparing this statement and state Form 700, which together comprise my Statement of Economic Interests. I have reviewed this statement, including the attached copy of state Form 700, and to the best of my knowledge the information contained herein and in any attached schedule is true and complete. I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date Executed _____, 2008, at _____
 (City)

Signature _____

INSTRUCTIONS FOR REPORTING INVESTMENTS AND REAL PROPERTY

Complete this schedule if you answer YES to **EITHER** of the following questions :

1. Do you own any Investments valued at \$2,000 or more?
2. Do you have any interest in Real Property valued at \$2,000 or more? (Not including your personal residence.)
 - If your answer is NO to BOTH questions, go to the next schedule.
 - If your answer to question 1 OR question 2 is YES, complete this schedule.

You are required to disclose an investment regardless of where it is located or does business and an interest in real property regardless of the property's location.

NOTE: The information you are required to report on this schedule *may* duplicate some information you are required to report on state Form 700. This is because City laws require more specific disclosure of these interests than state law.

CO-OWNER DEFINITION:

A Co-owner is a person covered by your disclosure category, who resides in, does or plans to do business in, or owns an interest in real property located in the City of Los Angeles and either (1) possesses a 10% or greater ownership, security, or leasehold interest in real property in which you also own an interest, or (2) possesses a 10% or greater investment in a business entity in which you also own an investment. A Co-Owner does not include any member of your immediate family, or a commercial lending institution that made a loan in connection with the relevant interest in its regular course of business on terms available to members of the general public without regard to official status. If someone has less than a 10% ownership interest with you, they are not considered a "Co-owner" (and you do not have a reporting requirement).

INVESTMENTS See the box on page 2 for information about how to value your investments.

Common Reportable Investments:

- sole proprietorships
- partnerships
- stocks, bonds, warrants and options including those held in margin or brokerage accounts.

You are NOT required to disclose these investments:

- bank, savings, or money market accounts
- insurance policies
- credit union shares
- government bonds
- diversified mutual funds registered with the SEC
- common trust funds created under California Financial Code Sec. 1564 (whereby the principal does not have ownership in

Reporting Retirement Accounts: Your interest in a retirement or pension plan may or may not be reportable *depending on how your plan is invested*. Such plans may include: Individual Retirement Account (IRA), 401(k), Keogh, qualified Annuities, Simplified Employee Pension (SEP), 501(c)(18) Trust, self-employed (SEP) or SIMPLE plan, or other similar pension or retirement plan. If your plan is invested solely in *non-reportable* interests such as government bonds, diversified mutual funds, or other interests that you are not required to disclose as listed above, then you need not disclose your interest. However, a plan that is invested in any business entity or real property regardless of location or where the entity does business, must be reported on this form.

REAL PROPERTY See the box on page 2 for information about how to value your real property.

Interests in real property include:

- beneficial ownership interest
- deed or trust
- easement
- option to acquire any of the above
- interest in real property held by a business entity, trust
- leasehold interest: is reportable if the leasehold interest is \$2,000 or more. Its value is the total amount of rent owed by you during the reporting period. You must include the address or other precise location of the leased property and the date which the lease became effective, if this occurred during the reporting period

INVESTMENTS AND REAL PROPERTY

Complete this schedule ONLY if you own either of the following interests valued at \$2,000 or more:

- ANY Investment
- ANY interest in Real Property (Not including your personal residence)

Please refer to the examples on the opposite page.

**If Investment, Name of Holding/Investment, OR
If Property, Property Address:**

**If Investment, Name of Holding/Investment, OR
If Property, Property Address:**

1. The value of my interest* is:

- \$2,000 - \$9,999 - Must be rounded to nearest \$1,000 _____
- \$10,000 - \$99,000 - Must be rounded to nearest \$10,000 _____
- \$100,000 - \$250,000 - Must be rounded to nearest \$25,000 _____
- More than \$250,000 - Must be rounded to nearest \$50,000 _____

1. The value of my interest* is:

- \$2,000 - \$9,999 - Must be rounded to nearest \$1,000 _____
- \$10,000 - \$99,000 - Must be rounded to nearest \$10,000 _____
- \$100,000 - \$250,000 - Must be rounded to nearest \$25,000 _____
- More than \$250,000 - Must be rounded to nearest \$50,000 _____

* If the interest is an investment sold through a US securities exchange, you may report the highest number of shares of stock or highest par value of bonds/debentures owned during the reporting period rather than report the dollar value. If so desired, indicate that value here:

* If the interest is an investment sold through a US securities exchange, you may report the highest number of shares of stock or highest par value of bonds/debentures owned during the reporting period rather than report the dollar value. If so desired, indicate that value here:

_____ Shares or Par Value

_____ Shares or Par Value

2. If the interest is an investment:

The above value is: Actual Estimated

My interest in this investment is:

less than 10% of the total company or entity

10% or greater of the total company or entity

2. If the interest is an investment:

The above value is: Actual Estimated

My interest in this investment is:

less than 10% of the total company or entity

10% or greater of the total company or entity

**3. Co-Owner Name/Address, if applicable.
(Co-owner definition on opposite page):**

**3. Co-Owner Name/Address, if applicable.
(Co-owner definition on opposite page):**

Name/address of additional Co-owners (attach sheets as necessary):

Name/address of additional Co-owners (attach sheets as necessary):

Check here to report additional Investments or Interests in Real Property and attach sheets as necessary.

INSTRUCTIONS FOR REPORTING INCOME (INCLUDING GIFTS) AND LOANS

Use this schedule to report ANY of the following :

1. Any income, including GIFTS or HONORARIA, received by you
2. Your community property interest (50%) in your spouse's income
3. Any of the following concerning loans:
 - Loans received or outstanding (report highest value) during the period
 - Loans or other indebtedness you had and for which another person has forgiven
 - Loan payments you received in aggregation of \$500 from one source

NOTE: The information you are required to report on this schedule *may* duplicate information you are required to report on state Form 700. This is because City laws require more specific disclosure of these interests than state law.

A GIFT includes anything you receive for which you have not provided something of equal or greater value in return and includes a rebate or discount in the price of anything of value unless the rebate or discount is made in the regular course of business to members of the public without regard to official status. The following are **not** considered gifts: informational materials (i.e., books, reports, calendars) valued at less than \$250; unused gifts which are, within 30 days, returned to the donor or donated to charity without being claimed as a contribution for tax purposes; gifts from family members or a partner in a bona fide dating relationship; campaign contributions or tickets to a fundraising event; personalized plaques/trophies valued at less than \$250; and, food, beverage or occasional lodging in an individual's home.

YOU ARE NOT REQUIRED TO DISCLOSE THE FOLLOWING TYPES OF INCOME:

- Interest, dividends, or premiums on a time demand deposit in a financial institution, shares in a credit union or any insurance policy, payments received under any insurance policy, or any bond or other debt instrument issued by any government or government agency.
- Dividends, interest or other return on a security which is registered with the Securities and Exchange Commission.
- Payments received under a defined benefit pension plan qualified under Internal Revenue Code Section 401 (a).
- Campaign contributions required to be reported under Chapter 4 of the Political Reform Act of 1974, as amended.
- Any devise or inheritance.

YOU ARE NOT REQUIRED TO DISCLOSE THE FOLLOWING TYPES OF LOANS:

- Any loan from a commercial lending institution used to purchase, refinance the purchase of or for improvements to, your principal place of residence if the loan was made in the lender's regular course of business on terms available to members of the public.
- Any indebtedness created as part of a retail installment or credit card transaction made in the creditor's regular course of business on terms available to the public without regard to official status if the aggregate amount owed to the creditor did not exceed \$10,000 at any time during the reporting period.
- Any loan from your spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, first cousin, or the spouse of any such person, except that a loan from any such person is reportable if the person is acting as an intermediary or agent for any person not covered by this provision.
- Loans from a commercial lending institution in the normal course of business which, in the aggregate, did not exceed \$10,000 at any time during the reporting period.

INSTRUCTIONS FOR REPORTING GENERAL PARTNERSHIPS

Use this schedule to report:

Your interest, or the interest of an immediate family member, in a limited or general partnership if the value of that interest is \$2,000 or more.

General Partnerships

Complete this schedule ONLY if you or a member of your immediate family:

1. Have an interest in a General Partnership, AND
2. Your interest (or your family member's) in the General Partnership is valued at \$2,000 or more.

You must provide this information for partnerships in which you are either a limited or general partner and you must report this interest regardless of where the partnership is located or does business.

If you owned any such interests during the reporting period, you are required to provide the following information:

Name of Partnership: _____

Partnership Address: _____

Name and Address of General Partner: _____

Name and Address of Additional General Partner: _____

Check here to report additional General Partners and attach sheets as necessary.

.....

Name of Partnership: _____

Partnership Address: _____

Name and Address of General Partner: _____

Name and Address of Additional General Partner: _____

Check here to report additional General Partners and attach sheets as necessary.

Check here to report additional General Partnerships and attach sheets as necessary.

INSTRUCTIONS FOR REPORTING RESTRICTED SOURCE INCOME, GIFTS AND TRAVEL SCHEDULE

Complete this schedule if your dependent child or spouse (as separate property) received any income, gifts, and/or travel payments from a restricted source (defined below).

“RESTRICTED SOURCE” DEFINITION: A restricted source is a:

- Person doing or seeking to do business with the City of Los Angeles; OR
- Person who, during the reporting period, knowingly attempted to influence you in any legislative or administrative action which would have a direct material financial effect on that person; OR
- Person who is a party to a proceeding involving a license, permit or other entitlement for use while a proceeding involving such matters, or within the prior nine months was, pending before the City and for nine months following the date a final decision is rendered in the proceeding, OR
- Lobbyist, lobbying firm or an entity with an “in-house” lobbyist seeking to influence your agency.

A restricted source does not include an individual (other than a lobbyist) who is employed by a restricted source, provided that the income, gift or travel is neither paid for by the employer nor provided at the direction of the employer.

EXAMPLE: Your spouse, a personal trainer, received a \$50 gift certificate from a client, Ms. Smith. Ms. Smith is a registered lobbyist. You must disclose the gift and Ms. Smith’s name because she is a restricted source to you (that is, a registered lobbyist).

A GIFT includes anything you receive for which you have not provided something of equal or greater value in return and includes a rebate or discount in the price of anything of value unless the rebate or discount is made in the regular course of business to members of the public without regard to official status. For exceptions to this definition, please refer to the items that are NOT considered gifts listed below.

THE FOLLOWING ARE NOT CONSIDERED GIFTS AND NEED NOT BE DISCLOSED:

- Informational materials (i.e., books, reports, calendars) valued at less than \$250.
- Unused gifts which are, within 30 days, returned to the donor or donated to charity without being claimed as a contribution for tax purposes.
- Gifts from family members or a partner in a bona fide dating relationship.
- Campaign contributions or tickets to a fundraising event.
- Personalized plaques/trophies valued at less than \$250.
- Food, beverage or occasional lodging in an individual’s home.

YOU ARE NOT REQUIRED TO DISCLOSE THE FOLLOWING TYPES OF TRAVEL PAYMENTS:

- Payment or reimbursement for travel within California in connection with an event at which your spouse or dependent child gave a speech, participated in a panel or seminar, or performed a similar service.
- Travel or reasonable subsistence expenses paid by a spouse’s or dependent child’s employer for employment related travel.
- Travel payments received from a bona fide educational, academic, or charitable organization for which your spouse or dependent child provided equal or greater consideration for the payments received.
- Food, beverages, and necessary accommodations received directly in connection with an event held inside or outside California at which your spouse or dependent child provided equal or greater consideration for the payment received.

Restricted Source Income, Gifts and Travel

Name _____

Complete this schedule ONLY if your Dependent Child(ren) or Spouse (as Separate Property) Received Income, Gifts, or Travel Payments from a RESTRICTED SOURCE.

A Restricted Source to you, a High Level Official, is a person who:

- Does or seeks to do business with the City.
- Has a matter involving a license, permit, or entitlement for use pending before the City now or had one in the last nine months.
- Has attempted to influence you in a legislative or administrative action which would benefit him/her or his/her employer.
- Is a registered lobbyist, lobbying firm, lobbyist employer.

If you had any such interests during the reporting period, you are required to provide the following information:

Name of Restricted Source:

My Spouse or Dependent Child(ren) received the following from the above Restricted Source: (Check each that applies)

Income

My Spouse or Dependent Child received income in the amount of:
 \$500 - \$1000
 \$1,001 - \$99,000 rounded to nearest \$1,000: \$ _____
 More than \$100,000 rounded to nearest \$10,000: \$ _____

Gift(s)

My Spouse or Dependent Child received:

Description of Gift(s): _____

Date(s) Received: _____

Value of Gift(s): _____

Check here to report additional gifts from this source - attach sheets as necessary.

Travel (payments, advances, reimbursements including actual transportation and related lodging and subsistence expenses):

My Spouse or Dependent Child received:

Location & Purpose of Travel: _____

Date(s) of Travel: _____

Value of Travel: _____

This travel was provided as a: gift or income (services of equal or greater value were given in exchange for this travel payment)

Check here to report additional travel from this source - attach sheets as necessary.

Check here if more space is needed to report additional Restricted Sources and attach sheets as necessary

INSTRUCTIONS FOR REPORTING TRANSACTIONS

Complete this schedule if you purchased or sold ANY of the following interests during the reporting period:

- Any investment (NOT including an investment sold on a regulated trading market or stock exchange where the identities of the buyer and seller are not known to one another)
- Any interest in real property
- Your personal residence (the address of your personal residence does not have to be disclosed)

NOTE: You are required to disclose the above investment and real property transactions regardless of the location of the property and regardless of the location of the investment entity and where that entity conducts business.

YOU DO NOT HAVE TO DISCLOSE TRANSACTIONS THAT OCCURRED ON A REGULATED TRADING MARKET OR STOCK EXCHANGE IN CONNECTION WITH WHICH THE IDENTITIES OF THE PURCHASER OR SELLER ARE UNKNOWN TO ONE ANOTHER.

EXAMPLES

1. During the reporting period you bought from Mr. Perez a partial interest in a company that manufactures computers. You must disclose Mr. Perez' name and address, the name and address of the computer company, and the price you paid for your interest (rounded to the nearest \$1,000), and the percentage of the interest bought or sold.
2. You bought your personal residence from Ms. Yale during the reporting period. You must disclose Mr. Yale's name and address and the sale price of your house.

Transactions

Name _____

Complete this schedule ONLY if you have bought or sold any investments or real property, including your personal residence.

NOTE: You are not required to report transactions which occurred through a regulated trading market or stock exchange whereby the identities of the purchaser and seller are unknown to one another. (e.g., publicly traded stock)

Please refer to the examples on the opposite page.

If you had any such transactions during the reporting period, you are required to provide the following information:

Name of Business Entity or Address of Real Property Sold or Purchased:

Check this box if the property is your current personal residence. If so, you need not disclose the address.

The interest described above was:

(Check ONE)

Sold. Provide additional information about the sale in the box below.

Purchased. Provide additional information about the purchase in the box below.

Percentage of interest purchased or sold: _____

Name of Seller or Purchaser: _____

Address of Seller or Purchaser: _____

Purchase or Sale Price Rounded to the Nearest \$1,000: _____

Check here if more space is needed to report additional Transactions and attach sheets as necessary.