

2009

Statements of Economic Interests Semi-Annual Filing

Information and Instructions for Ethics Liaisons

City law requires all department heads, board members, and commissioners, who were required to file a 2009 annual Statement of Economic Interests (SEI), to file a semi-annual SEI update by **October 1, 2009**. Please note that recently reappointed commissioners, who completed a pre-confirmation SEI in connection to that process, are still required to file a semi-annual SEI update.

The semi-annual SEI 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. Those who file the statement after the Thursday, October 1 deadline are subject under City law to late filing fees of \$25 per day.

Please follow the instructions below when soliciting and collecting the semi-annual SEI updates. This document and more information can be found on the CEC's Ethics Liaison website at :
<http://ethics.lacity.org/infofor/ethicsliaisons>

_____ 1. **Determine Your Internal Filing Deadline**

Although the deadline for filing the semi-annual SEI update is October 1, 2009, you may set an internal deadline earlier than this date for your Department Head and/or Board and Commission Members (if applicable). Please bear in mind that your internal filing deadline is not enforceable for late-filing penalties and filers will not technically be considered late unless they file after October 1.

_____ 2. **Determine Who is Required to File a Semi-Annual Update**

Only General Managers, Board Members, and Commissioners who were required to file a 2009 annual SEI are required to file the 2009 semi-annual SEI update. Those who **assumed** their position between October 1, 2008 to the present are **not** required to file a semi-annual update. **Please note**, those who were recently reappointed **are** required to file a semi-annual update to their annual SEI.

_____ 3. **Distribute Filing Materials to your Semi-Annual Filers by Monday, August 31**

Hard Copy Distribution

This year the CEC will not provide a hard copy semi-annual filing packet. To create your own, visit the SEI filer web-page at <http://ethics.lacity.org/infofor/seifilers/> and print out the following documents:

- _____ Memo & Instructions for All Department Heads, Board and Commission Members
- _____ 2009 Semi-annual Statement of Economic Interests Update (For Department Heads, Board Members, and Commissioners)
- _____ Reference Pamphlet

The packet should also include:

- _____ A note or memo containing your name, extension, and the date of your internal deadline
- _____ Copy of the filer's 2009 Annual CA Form 700 filed with your agency
- _____ Copy of the filer's 2009 Annual CEC 11 filed with your agency

Mail the packet to your filers no later than **Monday, August 31**.

Web-Based Distribution

Web-based distribution allows you to provide your semi-annual filers with their filing materials by sending them a link to the SEI filer web-page. While we highly encourage web-based distribution, please keep in mind that accessibility and convenience for **all** filers is of utmost importance. Please follow the step-by-step instructions below:

- A. **Save a pdf copy of the Annual SEIs filed in April 2009 by those required to file semi-annually.**
- B. **Insert the e-mail addresses of the required filers into individual & personal e-mail messages.** Please be sure **not** to include any filers who do not have internet access. Instead, please provide these individuals with a hard copy of the materials.
- C. **Attach the pdf copy of each filer's Annual SEI forms to their individual e-mail message.**
- D. **Copy and paste the following language to the body of the e-mail messages:**
(Be sure to fill in your address and deadline in the fourth paragraph, using a date no later than October 1, 2009.)

Dear Filer,

In compliance with City law, you are required to complete a semi-annual Statement of Economic Interest (SEI) update at this time. Your semi-annual update should include any disclosable financial interest that you held between January 1st and June 30th, 2009, that signals a change from what you disclosed on your 2009 annual Statement (attached).

You may obtain your semi-annual SEI update form, instructions, and other useful information at the following SEI filer website, designed specifically for you by the City Ethics Commission:

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

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

If you prefer hard copies of your semi-annual SEI update filing materials, you may request these by responding to this e-mail.

If you have questions regarding this filing requirement, please contact the City Ethics Commission at (213) 978-1960.

Thank you.

- E. **Send e-mail messages no later than Monday, August 31**
Please be sure to keep any record that indicates that the information was provided to all required filers.

4. **Collect Semi-Annual SEI Updates**

Filers will be providing you with their semi-annual SEI updates. 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. The semi-annual update form cannot be submitted electronically, therefore, any filers who received their filing materials through the web-based format must provide you with their signed original semi-annual SEI update. A filer may fax in their statement in order to meet the deadline, but the original must be submitted immediately thereafter.

- _____ 5. **Date-Stamp the Semi-Annual SEI Update Cover Pages Immediately Upon Receipt**
It is critical that you date-stamp all semi-annual 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 of \$25 per day will be imposed on all filers whose forms are stamped past the filing deadline.**

- _____ 6. **Enter Semi-Annual SEI Updates into the SEI Index**
You are required to enter all the semi-annual SEIs into the SEI Index, the CEC's online SEI tracking database. Use the date-stamp date on the filer's statement to populate the "Semi-Annual" data fields on their SEI Index record. The data entered into the SEI Index is used to generate the filing compliance rates that are forwarded to the Mayor's Office. For information on accessing and using the SEI Index, please refer to the SEI Index User Guide found on the CEC's website at: <http://ethics.lacity.org/infofor/ethicsliaisons/>

- _____ 7. **Photocopy and File Duplicate Semi-Annual SEIs**
For your department's records, you will need to photocopy all the semi-annual SEI update forms submitted to you by filers. Please file the duplicate copies in a safe place. Copies must be maintained for no less than four years.

- _____ 8. **Send Reminders to your Non-Filers**
Semi-annual updates filed after October 1, 2009 are subject to a \$25 fine per day. To prevent your filers from accruing considerable fines, call or e-mail them the week of the filing deadline. Remind them of the deadline and the fines they will face if they do not file on time. If they have any questions regarding the filing, direct them to call the CEC at (213) 978-1960.

- _____ 9. **Provide All Original forms to the City Ethics Commission by October 8, 2009**
As the Filing Officer for the City, the CEC is required to retain the original copies of all semi-annual SEI update forms. Please provide all originals to the CEC via grey mail at Mail Stop #129 or in person by **Thursday, October 8, 2009** at the following address: City Hall, 200 N. Spring St., 24th Floor, Los Angeles, CA 90012.

Congratulations!

You have finished coordinating the 2009 Semi-Annual SEI filing process for your department!