



## FAIR POLITICAL PRACTICES COMMISSION

428 J Street • Suite 620 • Sacramento, CA 95814-2329  
(916) 322-5660 • Fax (916) 322-0886

### FAIR POLITICAL PRACTICES COMMISSION ENFORCEMENT DIVISION

#### MEMORANDUM

**TO: ANN RAVEL, FPPC CHAIR  
FPPC COMMISSIONERS GARRETT, ESKOVITZ, ROTUNDA AND  
MONTGOMERY**

**FROM: GARY WINUK, ENFORCEMENT DIVISION CHIEF**

**SUBJECT: SEI NON-FILER STREAMLINED PROGRAM**

#### **Statement of Economic Interests non-filers streamlined program**

The Act requires public officials to file a statement of economic interests (“SEI”) when the public official assumes office, on an annual basis while holding office, and when the official leaves office. (Sections 87200 and 87300.) SEIs are an important tool because they identify the public officials’ economic interests in governmental decision-making. In 1999, the Commission recognized the need to obtain prompt compliance and to deter non-filing while minimizing the impact on Enforcement resources and adopted the SEI streamlined program. Through the streamlined settlement program, public officials are provided with an opportunity to stipulate to a lower penalty without the need for an enforcement action. Factors to determine if a candidate or committee is eligible for the program include: if the filer is still in office, if they have prior violations of the Act, any aggravating or mitigating factors and whether the violation was intentional, negligent, or inadvertent.

#### **Notification to respondents**

With respect to the filing of the SEI, the Act requires filing officers to notify all persons who have a filing obligation to file an SEI by the specified deadline. The filing officer will notify the public official prior to the deadline, and again if the deadline has passed. This contact generally consists of two or more notification letters, followed up by telephone calls and emails. If a public official fails to comply, the filing officer is required to refer the non-filer to the Enforcement Division. (Section 81010 and regulation 18115.) The public official is contacted by the Enforcement Division, and two or more letters are sent and telephone calls and emails are made to the public official before compliance has been met.

The streamlined program requires Respondent to comply with filing the delinquent SEI, sign a Stipulation, Decision and Order and agree to pay a minimal fine. The proposed Stipulation, Decision and Order is then presented to the Commission at the next regular meeting for approval.