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Enforcement Division of the Fair Political Practices Commission  
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8 **BEFORE THE FAIR POLITICAL PRACTICES COMMISSION**  
9 **STATE OF CALIFORNIA**

10  
11 In the Matter of ) FPPC No. 16/724  
12 )  
13 BFO & ASSOCIATES and BERMAN )  
OBALDIA, ) DEFAULT DECISION AND ORDER  
14 )  
15 Respondents. ) (Government Code Sections 11506 and 11520)  
16 )  
17 )

18 Complainant, the Enforcement Division of the Fair Political Practices Commission, hereby  
19 submits this Default Decision and Order for consideration by the Fair Political Practices Commission at  
20 its next regularly scheduled meeting.

21 Pursuant to the California Administrative Procedure Act,<sup>1</sup> Respondents BFO & Associates (the  
22 “Firm”) and Berman Obaldia (“Obaldia”) have been served with all documents necessary to conduct an  
23 administrative hearing regarding the above-captioned matter, including the following:

- 24 1. An Order Finding Probable Cause;
- 25 2. An Accusation;
- 26 3. A Notice of Defense (Two Copies per Respondent);

27  
28 <sup>1</sup> The California Administrative Procedure Act, which governs administrative adjudications, is contained in sections 11370 through 11529 of the Government Code.

1 4. A Statement to Respondent; and,

2 5. Copies of Sections 11506, 11507.5, 11507.6 and 11507.7 of the Government Code.

3 Government Code section 11506 provides that failure of a respondent to file a Notice of Defense  
4 within fifteen days after being served with an Accusation shall constitute a waiver of respondent's right  
5 to a hearing on the merits of the Accusation. The Statement to Respondent, served on the Firm and  
6 Obaldia, explicitly stated that a Notice of Defense must be filed in order to request a hearing. The Firm  
7 and Obaldia failed to file a Notice of Defense within fifteen days of being served with an Accusation.  
8 Government Code Section 11520 provides that, if the respondent fails to file a Notice of Defense, the  
9 Commission may take action, by way of a default, based upon the respondent's express admissions or  
10 upon other evidence, and that affidavits may be used as evidence without any notice to the respondent.

11 The Firm and Obaldia violated the Political Reform Act as described in Exhibit 1, which is attached  
12 hereto and incorporated by reference as though fully set forth herein. Exhibit 1 is a true and accurate  
13 summary of the law and evidence in this matter. This Default Decision and Order is submitted to the  
14 Commission to obtain a final disposition of this matter.

15  
16 Dated: 12 July 19

  
\_\_\_\_\_  
Galena West, Chief of Enforcement  
Fair Political Practices Commission

**ORDER**

The Commission issues this Default Decision and Order and imposes an administrative penalty of \$18,000 upon the Firm and Obaldia, payable to the "General Fund of the State of California."

IT IS SO ORDERED, effective upon execution below by the Chair of the Fair Political Practices Commission at Sacramento, California.

Dated: \_\_\_\_\_

\_\_\_\_\_  
Richard C. Miadich, Chair  
Fair Political Practices Commission

## **EXHIBIT 1**

### **INTRODUCTION**

Respondent BFO & Associates (the “Firm”) was a registered lobbying firm for the 2015-2016 legislative session. Respondent Berman Obaldia (“Obaldia”) was the sole responsible officer and lobbyist for the Firm.

The Political Reform Act (the “Act”)<sup>1</sup> requires a lobbying firm to file a quarterly report with the Secretary of State (“SOS”) along with periodic reports of each of its lobbyist. The Act also requires a lobbyist who is a partner in a lobbying firm to file with SOS a lobbyist certification that includes, among other things, a statement that the lobbyist will complete a scheduled ethics orientation course within 12 months of filing a lobbyist certification. Failure to complete the ethics course within the 12 months voids the lobbyist certification, and the lobbyist must not act as a lobbyist until he or she completes the course and files a lobbyist certification affirming completion of the course.

This matter arose out of a referral sent to the Fair Political Practices Commission’s (“Commission”) Enforcement Division by SOS, alleging that the Firm and Obaldia failed to timely file quarterly lobbying firm reports and lobbyist reports.

The Firm had a duty to timely file its quarterly reports along with the lobbyist reports with SOS. Obaldia individually also had a duty to complete the scheduled ethics orientation course within 12 months of filing a lobbyist certification and to restrain himself from acting as a lobbyist while his certification was revoked by SOS. The Firm and Obaldia failed to timely and accurately file eight quarterly reports and periodic reports, and Obaldia acted as a lobbyist while his lobbyist certification was void.

### **DEFAULT PROCEEDINGS UNDER THE ADMINISTRATIVE PROCEDURE ACT**

When the Commission determines that there is probable cause for believing that the Act has been violated, it may hold a hearing to determine if a violation has occurred.<sup>2</sup> Notice of the hearing, and the hearing itself, must be conducted in accordance with the Administrative Procedure Act (the “APA”).<sup>3</sup> A hearing to determine whether the Act has been violated is initiated by the filing of an accusation, which shall be a concise written statement of the charges, specifying the statutes and rules the respondent is alleged to have violated.<sup>4</sup>

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<sup>1</sup> The Political Reform Act is contained in Government Code Sections 81000 through 91014. All statutory references are to the Government Code, unless otherwise indicated. The regulations of the Fair Political Practices Commission (“Commission”) are contained in sections 18110 through 18997 of title 2 of the California Code of Regulations. All regulatory references are to that title unless otherwise indicated.

<sup>2</sup> Section 83116.

<sup>3</sup> The California Administrative Procedure Act, which governs administrative adjudications, is contained in sections 11370 through 11529 of the Government Code.

<sup>4</sup> Section 11503.

Included among the rights afforded a respondent under the APA is the right to file the Notice of Defense with the Commission within 15 days after service of the accusation, by which the respondent may (1) request a hearing, (2) object to the accusation on the ground that it does not state acts or omissions upon which the agency may proceed, (3) object to the form of the accusation on the ground that it is so indefinite or uncertain that the respondent cannot identify the transaction or prepare a defense, (4) admit the accusation in whole or in part, or (5) present new matter by way of a defense, or (6) object to the accusation on the ground that, under the circumstances, compliance with a Commission regulation would result in a material violation of another department's regulation affecting substantive rights.<sup>5</sup>

The APA provides that a respondent's failure to file a Notice of Defense within 15 days after service of an accusation constitutes a waiver of the respondent's right to a hearing.<sup>6</sup> Moreover, when a respondent fails to file a Notice of Defense, the Commission may take action based on the respondent's express admissions or upon other evidence, and affidavits may be used as evidence without any notice to the respondent.<sup>7</sup>

## PROCEDURAL REQUIREMENTS AND HISTORY

### A. Initiation of the Administrative Action

The service of the probable cause hearing notice, as required by Section 83115.5, upon the person alleged to have violated starts the administrative action.<sup>8</sup>

A finding of probable cause may not be made by the Commission unless the person alleged to have violated the Act is 1) notified of the violation by service of process or registered mail with return receipt requested; 2) provided with a summary of the evidence; and 3) informed of his or her right to be present in person and represented by counsel at any proceeding of the Commission held for the purpose of considering whether probable cause exists for believing the person violated the Act.<sup>9</sup> The required notice to the alleged violator is deemed made on the date of service; the date the registered mail receipt is signed; or if the registered mail receipt is not signed, the date returned by the post office.<sup>10</sup>

No administrative action pursuant to Chapter 3 of the Act alleging a violation of any of the provisions of Act may be commenced more than five years after the date on which the violation occurred.<sup>11</sup>

Documents supporting the procedural history are included in the attached Certification of Records ("Certification") filed herewith at Exhibit 1, A-1 through A-18, and incorporated herein by reference.

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<sup>5</sup> Section 11506, subd. (a)(1)-(6).

<sup>6</sup> Section 11506, subd. (c).

<sup>7</sup> Section 11520, subd. (a).

<sup>8</sup> Section 91000.5, subd. (a).

<sup>9</sup> Section 83115.5.

<sup>10</sup> Section 83115.5.

<sup>11</sup> Section 91000.5.

In accordance with Sections 83115.5 and 91000.5, the Enforcement Division initiated the administrative action against the Firm and Obaldia in this matter by twice attempting to serve them with a Report in Support of a Finding of Probable Cause (the "Report"). (Certification, Exhibit A-1.) As required by Section 83115.5, the Report was served with a cover letter and a memorandum describing probable cause proceedings, advising that the Firm and Obaldia had 21 days in which to request a probable cause conference and/or to file a written response to the Report. (Certification, Exhibit A-2.) The Enforcement Division provided the Firm and Obaldia with an electronic courtesy copy of the Report on October 1, 2018, and Obaldia responded on October 22, 2018 to request a probable cause conference, effectively commencing the administrative action and tolling the five-year statute of limitations as of October 22, 2018. (Certification, Exhibit A-3.)

**B. Probable Cause Conference**

The Firm and Obaldia requested a probable cause conference but did not submit a written response to the Report. The Commission met and conferred with Obaldia and set the probable cause conference for January 30, 2019. (Certification, Exhibit A-4.)

Obaldia failed to appear at the probable cause conference on January 30, 2019. On February 1, 2019, Hearing Officer Jack Woodside, Attorney IV, Legal Division, after reviewing the Report, issued an Order re: Probable Cause, finding that there is probable cause to believe the Firm and Obaldia violated the Act and directing the Enforcement Division to issue an Accusation against the Firm and Obaldia. (Certification, Exhibit A-5.)

**C. The Issuance and Service of the Accusation**

Under the Act, if the Hearing Officer makes a finding of probable cause, the Enforcement Division must prepare an accusation, pursuant to Section 11503 of the APA, and have it served on the persons who are the subject of the probable cause finding.<sup>12</sup>

Section 11503 states:

A hearing to determine whether a right, authority, license, or privilege should be revoked, suspended, limited, or conditioned shall be initiated by filing an accusation or District Statement of Reduction in Force. The accusation or District Statement of Reduction in Force shall be a written statement of charges that shall set forth in ordinary and concise language the acts or omissions with which the respondent is charged, to the end that the respondent will be able to prepare his or her defense. It shall specify the statutes and rules that the respondent is alleged to have violated, but shall not consist merely of charges phrased in the language of those statutes and rules. The accusation or District Statement of Reduction in Force shall be verified unless made by a public officer acting in his or her official capacity or by an employee of the agency before which the proceeding is to be held. The verification may be on information and belief.

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<sup>12</sup> Reg. 18361.4, subd. (e).

Upon the filing of the accusation, the agency must 1) serve a copy thereof on the respondent as provided in Section 11505, subdivision (c); 2) include a post card or other form entitled Notice of Defense that, when signed by or on behalf of the respondent and returned to the agency, will acknowledge service of the accusation and constitute a notice of defense under Section 11506; 3) include (i) a statement that respondent may request a hearing by filing a notice of defense as provided in Section 11506 within 15 days after service upon the respondent of the accusation, and that failure to do so will constitute a waiver of the respondent's right to a hearing, and (ii) copies of Sections 11507.5, 11507.6, and 11507.7.<sup>13</sup> The APA also sets forth the language required in the accompanying statement to the respondent.<sup>14</sup>

The Accusation and accompanying information may be sent to the respondent by any means selected by the agency, but no order adversely affecting the rights of the respondent may be made by the agency in any case unless the respondent has been served personally or by registered mail as set forth in the APA.<sup>15</sup>

On April 10, 2019, the Commission's Chief of Enforcement, Galena West, issued an Accusation against the Firm and Obaldia in this matter. (Certification, Exhibit A-6.) In accordance with Section 11505, the Accusation and accompanying information, consisting of a Statement to Respondent, two copies of a Notice of Defense Form for each respondent, copies of Government Code Sections 11506, 11507.5, 11507.6, and 11507.7, were served upon the Firm and Obaldia on May 6, 2019. (Certification, Exhibit A-7.)

Along with the Accusation, the Enforcement Division served the Firm and Obaldia with a "Statement to Respondent," which notified them that they could request a hearing on the merits and warned that, unless a Notice of Defense was filed within 15 days of service of the Accusation, they would be deemed to have waived the right to a hearing. (Certification, Exhibit A-8.) The Firm and Obaldia did not file a Notice of Defense within the statutory time period, which ended on May 21, 2019.

As a result, on June 4, 2019, the Enforcement Division sent a letter to the Firm and Obaldia advising that this matter would be submitted for a Default Decision and Order at the Commission's public meeting scheduled for July 18, 2019. (Certification, Exhibit A-16.) On July 3, 2019, the Enforcement Division sent another letter to the Firm and Obaldia with an updated penalty amount. (Certification, Exhibit A-17.)

On July 12, 2019 the Enforcement Division sent another letter to the Firm and Obaldia advising them that this matter would be submitted for a Default Decision and Order at the Commission's public meeting scheduled for July 18, 2019. (Certification, Exhibit A-18.) A copy of the Default Decision and Order, and this accompanying Exhibit 1 with attachments, was included with the letter.

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<sup>13</sup> Section 11505, subd. (a).

<sup>14</sup> Section 11505, subd. (b).

<sup>15</sup> Section 11505, subd. (c).

## SUMMARY OF THE LAW

The Act and its regulations are amended from time to time. The violations in this case occurred in 2015 and 2016. For this reason, all legal references and discussions of law pertain to the Act's provisions as they existed at that time.

An express purpose of the Act is to ensure that the activities and finances of lobbyists are disclosed so that improper influences are not directed at public officials.<sup>16</sup> In furtherance of this purpose, the Act requires a lobbying firm to maintain accurate accounting and file a quarterly report with SOS, disclosing the firm's clients, total amount of payments received from each client, reports of each lobbyist, activity expenses incurred, and any contributions of \$100 or more made by the lobbying firm.<sup>17</sup> Additionally, the Act requires a lobbyist to prepare a lobbying report each quarter that to file with the lobbying firm's report. The lobbyist report discloses all activity expenses and contributions made to a state elected official or candidate by the lobbyist.<sup>18</sup> The following is the filing schedule for quarterly lobbying firm reports and lobbyist reports during the 2015-2016 legislative session:

Quarter	Reporting Period	Due Date
1	1/1/2015-3/31/2015	4/30/2015
2	4/1/2015-6/30/2015	7/31/2015
3	7/1/2015-9/30/2015	10/31/2015
4	10/1/2015-12/31/2015	1/31/2016
5	1/1/2016-3/31/2016	4/30/2016
6	4/1/2016-6/30/2016	7/31/2016
7	7/1/2016-9/30/2016	10/31/2016
8	10/1/2016-12/31/2016	1/31/2017

A lobbying firm and lobbyist may end their filing obligations by filing a termination or withdrawal statement with SOS.<sup>19</sup>

A lobbyist who is a partner in a lobbying firm must prepare a lobbyist certification to file with SOS as part of the registration for the lobbying firm.<sup>20</sup> A lobbyist certification includes, among other things, a statement that the lobbyist will complete a scheduled ethics orientation course within 12 months of filing a lobbyist certification.<sup>21</sup> SOS accept the certification on a conditional basis. Failure to complete the ethics course within the 12 months voids the conditional lobbyist certification affirming completion of the course.<sup>22</sup>

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<sup>16</sup> Section 81002, subd. (b).

<sup>17</sup> Sections 86114, subd. (a); Regulation 18613.

<sup>18</sup> Section 86113.

<sup>19</sup> Section 86107.

<sup>20</sup> Section 84200, subd. (a).

<sup>21</sup> Section 86103, subd. (d)(2); Regulation 18603.1, subd. (b).

<sup>22</sup> Id.



## SUMMARY OF THE EVIDENCE

On January 16, 2015, the Firm registered as a lobbying firm (Certification, Exhibit A-9), and Obaldia registered as a lobbyist (Certification, Exhibit A-10).

The Firm received payments for lobbying from JEA and Associates (“JEA”) to lobby on behalf of Redflex Traffic Systems, Inc., which provides vehicle monitoring and enforcement services for government, police, and traffic departments globally. JEA reported making the following payments to the Firm for his lobbying services on its quarterly reports (Certification, Exhibit A-11):

Quarter	Reporting Period	Amount JEA Paid the Firm
1	1/1/2015-3/31/2015	\$10,800
2	4/1/2015-6/30/2015	\$10,800
3	7/1/2015-9/30/2015	\$7,200
4	10/1/2015-12/31/2015	\$10,800
5	1/1/2016-3/31/2016	\$7,200

In total, JEA reported making payments totaling \$46,800 to the Firm during the 2015-2016 legislative session.

The Firm, on the other hand, failed to timely file any of its quarterly reports during the 2015-2016 legislative session, so it did not timely disclose its activities until March 13, 2018, after receiving contact from the Enforcement Division. (Certification, Exhibit A-12.) Because the Firm had not timely filed its quarterly reports, almost all lobbyist reports for Obaldia had not been timely filed as well. Obaldia independently filed a lobbyist report for quarter 1 on April 30, 2015 (Certification, Exhibit A-13) and an amendment on July 23, 2015 (Certification, Exhibit A-14), reporting no activity in both. Obaldia did not timely file lobbyist reports for any subsequent reporting periods.

Additionally, SOS revoked Obaldia’s registration as a lobbyist on January 16, 2016 due to his failure to complete a requisite lobbying ethics course. (Certification, Exhibit A-15.) However, Obaldia continued to provide lobbying services to JEA through March 31, 2016. (Certification, Exhibit A-11.)

### Summary of Contacts

Overall, the Firm and Obaldia were contacted thirty-seven times regarding their quarterly lobbying firm reports, quarterly lobbyist reports, and voided of lobbyist certification, as follows:

- October 8, 2015: letter from SOS
- January 14, 2016: letter from SOS
- February 2, 2016: letter from SOS
- August 2, 2017: letter from the Enforcement Division
- August 2, 2017: email from the Enforcement Division

- August 2, 2017: voicemail from the Enforcement Division
- September 7, 2017: email from the Enforcement Division
- September 7, 2017: voicemail from the Enforcement Division
- September 8, 2017: letter from the Enforcement Division
- January 30, 2018: voicemail from the Enforcement Division
- February 1, 2018: voicemail from the Enforcement Division
- February 1, 2018: email from the Enforcement Division
- February 9, 2018: email from the Enforcement Division
- March 2, 2018: email from the Enforcement Division
- April 3, 2018: email from the Enforcement Division
- April 26, 2018: email from the Enforcement Division
- April 26, 2018: letter from the Enforcement Division
- May 2, 2018: voicemail from the Enforcement Division
- May 15, 2018: email from the Enforcement Division
- May 16, 2018: voicemail from the Enforcement Division
- May 24, 2018: phone call from the Enforcement Division
- May 24, 2018: letter from the Enforcement Division
- May 24, 2018: email from the Enforcement Division
- June 1, 2018: phone call from the Enforcement Division
- June 1, 2018: email from the Enforcement Division
- October 1, 2018: Report in Support of Probable Cause served on the Firm and Obaldia
- January 30, 2019: probable cause conference held by the Commission in Sacramento, California
- April 10, 2019: voicemail from the Enforcement Division
- April 12, 2019: email from the Enforcement Division
- April 12, 2019: letter from the Enforcement Division
- April 26, 2019: email from the Enforcement Division
- May 1, 2019: phone call from the Enforcement Division
- May 1, 2019: email from the Enforcement Division
- May 6, 2019: Accusation served upon the Firm and Obaldia
- June 4, 2019: letter from the Enforcement Division
- July 3, 2019: letter from the Enforcement Division
- July 12, 2019: Default Decision and Order delivered to the Firm and Obaldia

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## VIOLATIONS

The Firm and Obaldia committed eight violations of the Act, as follows:

### COUNT 1

#### **Failure to Timely File a Lobbying Firm Report by April 30, 2015**

The Firm and Obaldia had a duty to timely file a lobbying firm report for quarter 1 of the 2015-2016 legislative session by April 30, 2015. By failing to timely file this lobbying firm report for quarter 1, the Firm and Obaldia violated Government Code Sections 86114 and 86117.

### COUNT 2

#### **Failure to Timely File a Lobbying Firm Report and Lobbyist Report by July 31, 2015**

The Firm and Obaldia had a duty to timely file a lobbying firm report and lobbyist report for quarter 2 of the 2015-2016 legislative session by July 31, 2015. By failing to timely file this lobbying firm report and lobbyist for quarter 2, the Firm and Obaldia violated Government Code Sections 86113, 86114, and 86117.

### COUNT 3

#### **Failure to Timely File a Lobbying Firm Report and Lobbyist Report by October 31, 2015**

The Firm and Obaldia had a duty to timely file a lobbying firm report and lobbyist report for quarter 3 of the 2015-2016 legislative session by October 31, 2015. By failing to timely file this lobbying firm report and lobbyist report for quarter 3, the Firm and Obaldia violated Government Code Sections 86113, 86114, and 86117.

### COUNT 4

#### **Failure to Timely File a Lobbying Firm Report and Lobbyist Report by January 31, 2016**

The Firm and Obaldia had a duty to timely file a lobbying firm report and lobbyist report for quarter 4 of the 2015-2016 legislative session by January 31, 2016. By failing to timely file this lobbying firm report and lobbyist report for quarter 4, the Firm and Obaldia violated Government Code Sections 86113, 86114, and 86117.

### COUNT 5

#### **Failure to Timely File a Lobbying Firm Report and Lobbyist Report by April 30, 2016**

The Firm and Obaldia had a duty to timely file a lobbying firm report and lobbyist report for quarter 5 of the 2015-2016 legislative session by April 30, 2016. By failing to timely file this

lobbying firm report and lobbyist report for quarter 5, the Firm and Obaldia violated Government Code Sections 86113, 86114, and 86117.

COUNT 6

**Failure to Timely File a Lobbying Firm Report and Lobbyist Report by July 31, 2016**

The Firm and Obaldia had a duty to timely file a lobbying firm report and lobbyist report for quarter 6 of the 2015-2016 legislative session by July 31, 2016. By failing to timely file this lobbying firm report and lobbyist report for quarter 6, the Firm and Obaldia violated Government Code Sections 86113, 86114, and 86117.

COUNT 7

**Failure to Timely File a Lobbying Firm Report and Lobbyist Report by October 31, 2016**

The Firm and Obaldia had a duty to timely file a lobbying firm report and lobbyist report for quarter 7 of the 2015-2016 legislative session by October 31, 2016. By failing to timely file this lobbying firm report and lobbyist report for quarter 7, the Firm and Obaldia violated Government Code Sections 86113, 86114, and 86117.

COUNT 8

**Failure to Timely File a Lobbying Firm Report and Lobbyist Report by January 31, 2017**

The Firm and Obaldia had a duty to timely file a lobbying firm report and lobbyist report for quarter 8 of the 2015-2016 legislative session by January 31, 2017. By failing to timely file this lobbying firm report and lobbyist report for quarter 8, the Firm and Obaldia violated Government Code Sections 86113, 86114, and 86117.

Obaldia committed one violation of the Act, as follows:

COUNT 9

**Prohibition Against Acting as a Lobbyist Once Conditional Certification is Void**

Obaldia was prohibited from acting as a lobbyist once his conditional certification was void for the 2015-2016 legislative session. By continuing to provide lobbying services after his conditional certification was void, Obaldia violated Government Code Section 86103.

**CONCLUSION**

This matter consists of 9 counts of violating the Act, which carry a maximum administrative penalty total of \$45,000.<sup>23</sup>

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<sup>23</sup> Section 83116, subd. (c).

In determining the appropriate penalty for a particular violation of the Act, the Enforcement Division considers the typical treatment of a violation in the overall statutory scheme of the Act, with an emphasis on serving the purposes and intent of the Act. Additionally, the Enforcement Division considers the facts and circumstances of the violation in the context of the following factors set forth in Regulation 18361.5, subdivision (d)(1) through (6): (1) The seriousness of the violations; 2) The presence or absence of any intention to conceal, deceive or mislead; 3) Whether the violation was deliberate, negligent, or inadvertent; 4) Whether the violator demonstrated good faith by consulting the Commission staff or any other governmental agency in a manner not constituting complete defense under Government Code Section 83114(b); 5) Whether the violation was isolated or part of a pattern and whether the violator has a prior record of violations of the Political Reform Act or similar laws; and 6) Whether the violator, upon learning of a reporting violation, voluntarily filed amendments to provide full disclosure.

In this matter, the Firm and Obaldia failed to timely file quarterly lobbying firm reports and lobbyist reports. Additionally, Obaldia continued to act as a lobbyist after his conditional certification was void. The failure to comply with these obligations denied the public information about the Firm and Obaldia's activities. In mitigation, the Firm and Obaldia filed all eight of the outstanding lobbying firm quarterly reports on March 13, 2018, around two or more years after they were due. The Firm and Obaldia also do not have prior enforcement history of violating the Act.

The Commission also considers previous cases that were approved by the Commission in determining penalties. In this matter, the following cases were used as guidelines:

#### Counts 1-8

- *In the Matter of Sacramento Advocacy and Catherine Barankin*, FPPC No. 11/427. (The Commission approved a default decision on December 13, 2012.) The respondents failed to timely file nine quarterly lobbying firm reports and lobbyist reports from 2010 through 2012. The required reports were filed on average 275 days late, eventually reporting a total of \$556,215 for the period. The Commission imposed a penalty of \$2,500 per count for the late-filed quarterly lobbying firm reports and lobbyist reports. As in *Sacramento Advocacy*, the Firm and Obaldia did not timely file reports for an extended time. Unlike *Sacramento Advocacy*, the Firm and Obaldia lacked experience as a lobbying firm and lobbyist. Furthermore, the amount not reported by the Firm and Obaldia was a fraction of the amount not reported in *Sacramento Advocacy*.

#### Count 9

- *In the Matter of Susan Kennedy and Susan P. Kennedy, Inc.*, FPPC No. 17/563. (The Commission approved a default decision on February 15, 2018.) The respondents qualified as a lobbying firm and lobbyist but did not register or file a certification before lobbying on behalf of their clients. The respondents received payments totaling \$201,500 from 2012 through 2014. The Commission imposed a penalty of \$4,500 per count for failing to timely register the lobbying firm and failing to timely file a lobbyist certification. The

Commission, in recent history, had not been presented with a case in which a lobbyist continues to act as a lobbyist after his conditional certification is void, but the violation in this case is similar to that in *Kennedy* because the individuals acted as lobbyists without a valid certification to do so. However, unlike *Kennedy*, Obaldia lobbied with a void certification for one quarter instead of for seven quarters. Obaldia received a payment of \$7,200 in that time, in contrast to the \$201,500 received by Kennedy.

#### **PROPOSED PENALTY**

After considering the factors of Regulation 18361.5 and the penalties imposed in prior cases, penalties of \$2,000 each for Counts 1-8 and \$3,000 for Count 9 are recommended, for a total penalty of \$19,000.



**DECLARATION OF CUSTODIAN OF RECORDS  
CALIFORNIA FAIR POLITICAL PRACTICES COMMISSION  
Enforcement Division**

**CERTIFICATION OF RECORDS**

The undersigned declares and certifies as follows:

1. I am employed as a Associate Governmental Program Analyst by the California Fair Political Practices Commission (Commission). My business address is: California Fair Political Practices Commission, 1102 Q St, Ste 3000, Sacramento, CA 95811.
2. I am a duly authorized custodian of the records maintained by the Commission in the Enforcement Division. As such, I am authorized to certify copies of those records as being true and correct copies of the original business records which are in the custody of the Commission.
3. I have reviewed documents maintained in *FPPC Case No. 16/724; BFO & Associates and Berman Obaldia*, and have caused copies to be made of documents contained therein. I certify that the copies attached hereto are true and correct copies of the documents prepared in the normal course of business and which are contained in files maintained by the Commission. The attached documents are as follows:

EXHIBIT A-1: Report in Support of a Finding of Probable Cause, dated July 5, 2018

EXHIBIT A-2: Cover letter to the Respondent regarding the Report in Support of a Finding of Probable Cause, memorandum describing Probable Cause Proceedings, and applicable statutes and regulations, dated July 5, 2018

EXHIBIT A-3: Email exchange between the Enforcement Division and Berman Obaldia, dated October 1, 2018 and October 22, 2018

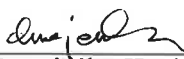
EXHIBIT A-4: Email exchange between the Commission Assistant and Berman Obaldia, dated October 23, 2018 through November 1, 2018

EXHIBIT A-5: Order re: Probable Cause, dated February 1, 2019, and Proofs of Service, dated February 1, 2019 and April 11, 2019

EXHIBIT A-6: Accusation, dated April 10, 2019

- EXHIBIT A-7: Proof of Service for Accusation and accompanying documents, dated April 25, 2019
- EXHIBIT A-8: Statement to the Respondent, Notices of Defense, and applicable statutes
- EXHIBIT A-9: Lobbying Firm Registration Statement (Form 601), filed by BFO & Associates on January 16, 2015
- EXHIBIT A-10: Lobbyist Certification Statement (Form 604), filed by Berman Obaldia on January 16, 2015
- EXHIBIT A-11: Excerpts from Report of Lobbying Firm (Form 625), filed by JEA & Associates for the reporting periods covering January 1, 2015 through March 31, 2016
- EXHIBIT A-12: Report of Lobbying Firm (Form 625), filed by BFO & Associates for the reporting periods covering January 1, 2015 through December 31, 2016
- EXHIBIT A-13: Lobbyist Report (Form 615), filed by Berman Obaldia for the reporting period covering January 1, 2015 through March 31, 2015
- EXHIBIT A-14: Amendment to Lobbying Disclosure Report (Form 690), filed by Berman Obaldia for the reporting period covering January 1, 2015 through March 31, 2015
- EXHIBIT A-15: Letter from the Secretary of State to BFO & Associates and Berman Obaldia, dated February 2, 2016
- EXHIBIT A-16: First Notice of Default Decision and Order, dated June 4, 2019
- EXHIBIT A-17: First Notice of Default Decision and Order, dated July 3, 2019
- EXHIBIT A-18: Notice of Intent to Enter into Default Decision and Order, dated July 12, 2019

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct. Executed on July 12, 2019, at Sacramento, California.

  
\_\_\_\_\_  
Dominika Wojenska  
Associate Governmental Program Analyst  
Enforcement Division  
Fair Political Practices Commission



**Exhibit A-1**

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DEFAULT DECISION AND ORDER FPPC NO. 16/724

1 GALENA WEST  
Chief of Enforcement  
2 RUTH YANG  
Commission Counsel  
3 **FAIR POLITICAL PRACTICES COMMISSION**  
1102 Q Street, Suite 3000  
4 Sacramento, CA 95811  
Telephone: (916) 322-7771  
5 Facsimile: (916) 322-1932

6 Attorneys for Complainant  
Enforcement Division of the Fair Political Practices Commission  
7

8 **BEFORE THE FAIR POLITICAL PRACTICES COMMISSION**

9 **STATE OF CALIFORNIA**

10  
11 In the Matter of ) FPPC No. 16/724  
12 )  
13 BFO & ASSOCIATES ) **REPORT IN SUPPORT OF A FINDING OF**  
and BERMAN OBALDIA ) **PROBABLE CAUSE**  
14 ) Conference Date: TBA  
15 Respondents. ) Conference Time: TBA  
16 ) Conference Location: Commission Offices  
17 ) 1102 Q Street, Suite 3000  
Sacramento, CA 95811

18 **INTRODUCTION**

19 Respondent BFO & Associates (the "Firm") is a registered lobbying firm in California. Berman  
20 Obaldia ("Obaldia") was, at all times relevant to this case, responsible officer and sole lobbyist for the  
21 Firm. This case arose from a referral from the Secretary of State's Office ("SOS").

22 The Political Reform Act ("Act")<sup>1</sup> requires a lobbying firm to timely file periodic reports  
23 disclosing, among other information, the total amount of payments received for lobbying services; each  
24 activity expense and total of all activity expenses incurred; and periodic reports of each lobbyist in the

25  
26 <sup>1</sup> The Political Reform Act is contained in Government Code §§ 81000 through 91014, and all statutory references are  
to this code. The regulations of the Fair Political Practice Commission are contained in §§ 18110 through 18997 of Title 2 of  
the California Code of Regulations, and all regulatory references are to this source.  
27

1 lobbying firm. The Act also prohibits lobbyists from acting as a lobbyist once his or her certification is  
2 void. The Firm and Obaldia violated the Act by failing to timely file eight lobbying firm reports, and  
3 failing to file seven lobbyist reports. Obaldia violated the Act by acting as a lobbyist with a voided  
4 lobbyist certification.

### 5 **SUMMARY OF THE LAW**

6 All legal references and discussions of law pertain to the Act's provisions as they existed in 2015  
7 through 2017.

#### 8 Jurisdiction

9 The Fair Political Practices Commission (the "Commission") has administrative jurisdiction to  
10 enforce the provisions of the Act.<sup>2</sup>

#### 11 Probable Cause Proceedings

12 Prior to the Enforcement Division commencing an administrative action, the General Counsel of  
13 the Commission or her designee (the "hearing officer"), must make a finding that there is probable cause  
14 to believe the respondent has violated the Act.<sup>3</sup> After a finding of probable cause, the Commission may  
15 hold a noticed hearing in accordance with the Administrative Procedure Act<sup>4</sup> to determine whether  
16 violations occurred, and levy an administrative penalty of up to \$5,000 for each violation.<sup>5</sup>

#### 17 Standard for Finding Probable Cause

18 To make a finding of probable cause, the hearing officer must be presented with sufficient  
19 evidence to lead a person of ordinary caution and prudence to believe, or entertain a strong suspicion,  
20 that a respondent committed or caused a violation.<sup>6</sup>

#### 21 Need for Liberal Construction and Vigorous Enforcement of the Political Reform Act

22 When enacting the Political Reform Act, the people of the state of California found and declared  
23 that previous laws regulating political practices suffered from inadequate enforcement by state and local

24 <sup>2</sup> Section 83116.

25 <sup>3</sup> Section 83115.5, and Regulations 18361 and 18361.4.

26 <sup>4</sup> Section 11500, et seq.

27 <sup>5</sup> Section 83116, and Regulation 18361.4, subd. (e).

28 <sup>6</sup> Section 18361.4, subd. (e).

1 authorities.<sup>7</sup> To that end, the Act must be liberally construed to achieve its purposes.<sup>8</sup> An express purpose  
2 of the Act is to ensure that the activities and finances of lobbyists are disclosed so that improper influences  
3 are not directed at public officials.<sup>9</sup> The Act provides adequate enforcement mechanisms so that it will  
4 be “vigorously enforced.”<sup>10</sup>

5 Reporting

6 Any person who qualifies as a “lobbying firm” is required to file periodic reports containing  
7 information about the lobbying activities being conducted.<sup>11</sup> A lobbying firm is defined, in part, as a  
8 “business entity [that] receives or becomes entitled to receive any compensation...for the purpose of  
9 influencing legislative or administrative action on behalf of any other person.”<sup>12</sup> A registered lobbying  
10 firm must maintain accurate accounting and file a quarterly report with SOS, disclosing the firm’s clients,  
11 total amount of payments received from each client, periodic reports of each lobbyist, activity expenses  
12 incurred, and any contributions of \$100 or more made by the lobbying firm.<sup>13</sup> These reports must be filed  
13 with SOS four times per calendar year by the end of the month following each calendar quarter.<sup>14</sup>  
14 Additionally, a lobbyist must prepare a lobbying report each quarter that is filed with the lobbying firm’s  
15 report. The lobbyist report discloses all activity expenses and contributions made to a state elected official  
16 or candidate by the lobbyist.<sup>15</sup> A lobbying firm and lobbyist may end their filing obligations by filing a  
17 termination or withdrawal statement with SOS.<sup>16</sup>

18 ///

19 ///

20 ///

21 <sup>7</sup> Section 81001, subd. (h).

22 <sup>8</sup> Section 81003.

23 <sup>9</sup> Section 81002, subd. (b).

24 <sup>10</sup> Section 81002, subd. (f).

25 <sup>11</sup> Section 86114.

26 <sup>12</sup> Section 82038.5, subd. (a).

27 <sup>13</sup> Section 86114, subd. (a), and Regulation 18613.

28 <sup>14</sup> Sections 86117 and 86118.

<sup>15</sup> Section 86113.

<sup>16</sup> Section 86107.

1 Lobbyist Certification

2 A lobbyist who is a partner in a lobbying firm must prepare a lobbyist certification to file with  
3 SOS as part of the registration for the lobbying firm.<sup>17</sup> A new lobbyist certification includes, among other  
4 things, a statement that the lobbyist will complete a scheduled ethics orientation course within 12 months  
5 of filing a lobbyist certification.<sup>18</sup> SOS accepts the certification on a conditional basis. Failure to complete  
6 the ethics course within the 12 months voids the conditional lobbyist certification, and the lobbyist shall  
7 not act as a lobbyist until he or she completes the course and files a lobbyist certification affirming  
8 completion of the course.<sup>19</sup> It is a violation of the Act to act as a lobbyist once a lobbyist's conditional  
9 certification is void.<sup>20</sup>

10 **SUMMARY OF THE EVIDENCE**

11 The Firm registered as a lobbying firm and Obaldia registered as a lobbyist on January 16, 2015.  
12 The Firm failed to timely file its quarter 1 report in 2015 by April 30, 2015 and did not timely file any  
13 subsequent quarterly reports.

14 Despite not filing quarterly reports, the Firm received payments for lobbying from JEA and  
15 Associates ("JEA") to lobby on behalf of Redflex Traffic Systems, Inc., which provides vehicle  
16 monitoring and enforcement services for government, police and traffic departments globally. In total,  
17 JEA reported paying Obaldia \$46,800 for the periods covering January 1, 2015 through March 31, 2016.  
18 SOS revoked Obaldia's registration as a lobbyist on January 16, 2016 due to his failure to complete a  
19 requisite lobbying ethics course, but records show that Obaldia continued to provide lobbying services  
20 for JEA through March 31, 2016.

21 The following lists the quarterly reports the Firm failed to timely file and the amount JEA reported  
22 paying to the Firm during those periods:

23  
24 \_\_\_\_\_  
25 <sup>17</sup> Section 86100, subd. (a).

26 <sup>18</sup> Section 86103, subd. (d)(2), and Regulation 18603.1, subd. (b).

27 <sup>19</sup> Id.

28 <sup>20</sup> Id.

Report Type	Payments from JEA	Reporting Period	Filing Deadline
Form 625	\$10,800.00	1/1/2015-3/31/2015	4/30/2015
Form 625	\$10,800.00	4/1/2015-6/30/2015	7/31/2015
Form 625	\$7,200.00	7/1/2015-9/30/2015	10/31/2015
Form 625	\$10,800.00	10/1/2015-12/31/2015	1/31/2016
Form 625	\$7,200.00	1/1/2016-3/31/2016	4/30/2016
Form 625	-	4/1/2016-6/30/2016	7/31/2016
Form 625	-	7/1/2016-9/30/2016	10/31/2016
Form 625	-	10/1/2016-12/31/2016	1/31/2017

Because the Firm had not filed its periodic reports, almost all lobbyist reports for Obaldia have not been filed. Obaldia attempted to independently file a lobbyist report for quarter 1 on April 30, 2015, reporting no activity. Obaldia amended that report on July 23, 2015, again reporting no activity. Obaldia did not file lobbyist reports for any subsequent reporting periods.

SOS notified the Firm in writing on October 8, 2015 and January 14, 2016 that the Firm had failed to timely file a periodic report for the reporting period ending on July 31, 2015. After the Firm did not file the required statement, SOS referred the matter to the Enforcement Division.

The Enforcement Division contacted the Firm via U.S. mail on September 8, 2016 and August 2, 2017 regarding outstanding periodic filings. The Enforcement Division also contacted the Firm by both email and voicemail regarding those outstanding periodic filings on August 2, 2017; September 7, 2017; and February 1, 2018. Obaldia responded by email on February 9, 2018, indicating that he had filed the outstanding periodic filings.

### VIOLATIONS

#### Count 1: Failure to Timely File a Lobbying Firm Report

The Firm and Obaldia failed to timely file a lobbying firm report for quarter 1 of the 2015-2016 legislative session, in violation of Sections 86114 and 86117.

#### Count 2: Failure to Timely File a Lobbying Firm Report and Lobbyist Report

The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for quarter 2 of the 2015-2016 legislative session, in violation of Sections 86113, 86114 and 86117.

1 Count 3: Failure to Timely File a Lobbying Firm Report and Lobbyist Report

2 The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for quarter  
3 3 of the 2015-2016 legislative session, in violation of Sections 86113, 86114 and 86117.

4 Count 4: Failure to Timely File a Lobbying Firm Report and Lobbyist Report

5 The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for quarter  
6 4 of the 2015-2016 legislative session, in violation of Sections 86113, 86114 and 86117.

7 Count 5: Failure to Timely File a Lobbying Firm Report and Lobbyist Report

8 The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for quarter  
9 5 of the 2015-2016 legislative session, in violation of Sections 86113, 86114 and 86117.

10 Count 6: Failure to Timely File a Lobbying Firm Report and Lobbyist Report

11 The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for quarter  
12 6 of the 2015-2016 legislative session, in violation of Sections 86113, 86114 and 86117.

13 Count 7: Failure to Timely File a Lobbying Firm Report and Lobbyist Report

14 The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for quarter  
15 7 of the 2015-2016 legislative session, in violation of Sections 86113, 86114 and 86117.

16 Count 8: Failure to Timely File a Lobbying Firm Report and Lobbyist Report

17 The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for quarter  
18 8 of the 2015-2016 legislative session, in violation of Sections 86113, 86114 and 86117.

19 Count 9: Acting as a Lobbyist with a Void Certification

20 Obaldia acted as a lobbyist for quarter 5 of the 2015-2016 legislative session after his certification  
21 was voided on January 16, 2016, in violation of Section 86103.

22 **OTHER RELEVANT MATERIAL**

23 The Firm and Obaldia failed to disclose any of their activities since the Firm qualified as a  
24 lobbying firm. The Firm and Obaldia's violations deprived the public of important and timely information  
25 regarding the extent and nature of their lobbying activity.

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**EXCULPATORY AND MITIGATING INFORMATION**

None.


**CONCLUSION**

Probable cause exists to believe that the Firm and Obaldia violated the Act as described above. The Enforcement Division respectfully requests an order finding probable cause pursuant to Section 83115.5 and Regulation 18361.4.

Dated: 7/5/2018

Respectfully Submitted,

**FAIR POLITICAL PRACTICES COMMISSION**  
Galena West  
Enforcement Chief

  
\_\_\_\_\_  
By: Ruth Yang  
Commission Counsel  
Enforcement Division



**Exhibit A-2**

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DEFAULT DECISION AND ORDER FPPC NO. 16/724



FAIR POLITICAL PRACTICES COMMISSION

1102 Q Street • Suite 3000 • Sacramento, CA 95811

July 5, 2018

**CERTIFIED MAIL, RETURN RECEIPT REQUESTED**

Berman Obaldia  
BFO & Associates



**In the Matter of BFO & ASSOCIATES and BERMAN OBALDIA; FPPC No. 16/724**

Dear Mr. Obaldia:

The Enforcement Division of the Fair Political Practices Commission (the "Commission") is proceeding with an administrative action against you for your failure to comply with the filing and disclosure provisions of the Political Reform Act (the "Act"). The enclosed Report in Support of a Finding of Probable Cause (the "Report") contains a summary of the alleged violations and the relevant law and evidence.

You have the right to file a written response to the Report. That response may contain any information you think is relevant and that you wish to bring to the attention of the Hearing Officer. In your response, please indicate whether you would like the Hearing Officer to make a determination of probable cause based on the written materials alone (the Report and your response) or request a conference, during which you may orally present your case to the Hearing Officer. Probable cause conferences are held in our office, which is located at 1102 Q Street, Suite 3000, Sacramento, California 95811. You may appear at the conference in person or by telephone and you are entitled to be represented by counsel. *If you wish to submit a written response or request a probable cause conference, it must be filed with the Commission Assistant at the address listed above within 21 days from the date of service of this letter.* You can reach the Commission Assistant at (916) 327-8269.

Please note that probable cause conferences are not settlement conferences. The sole purpose of a probable cause conference is to determine whether there is probable cause to believe that the Act was violated. However, settlement discussions are encouraged by the Commission and may take place at any time except during a probable cause conference. *If you are interested in reaching a settlement in this matter, please contact Ruth Yang at (916) 322-7771 or [ryang@sppc.ca.gov](mailto:ryang@sppc.ca.gov).*

Finally, you have the right to request discovery of the evidence in possession of, and relied upon by, the Enforcement Division. ***This request must also be filed with the Commission Assistant within 21 days from the date of service of this letter.*** Should you request discovery, the Enforcement Division will provide the evidence by service of process or certified mail. From the date you are served with the evidence, you would have an additional 21 days to file a written response to the Report, just as described above.

***Should you take no action within 21 days from the date of service of this letter, your rights to respond and to request a conference are automatically waived and the Enforcement Division will independently pursue the issuance of an accusation.***

For your convenience, I have enclosed a fact sheet on probable cause proceedings and copies of the most relevant statutes and regulations.

Sincerely,



Ruth Yang  
Commission Counsel  
Enforcement Division

Enclosures

## PROBABLE CAUSE FACT SHEET

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### INTRODUCTION

The Fair Political Practices Commission is required by law to determine whether probable cause exists to believe that the Political Reform Act (the "Act") was violated before a public administrative accusation may be issued.

The probable cause proceedings before the Fair Political Practices Commission are unique, and most respondents and their attorneys are unfamiliar with them. Therefore, we have prepared this summary to acquaint you with the process.

### THE LAW

Government Code sections 83115.5 and 83116 set forth the basic requirement that a finding of probable cause be made in a "private" proceeding before a public accusation is issued and a public hearing conducted in accordance with the Administrative Procedure Act.

The Commission has promulgated regulations further defining the probable cause procedure and delegating to the General Counsel (the "Hearing Officer" for purposes of these proceedings) the authority to preside over such proceedings and decide probable cause. A copy of these statutes and regulations are attached for your convenience.

In summary, the statutes and regulations entitle you to the following:

- a) A written probable cause report containing a summary of the law alleged to have been violated, and a summary of the evidence, including any exculpatory and mitigating information and any other relevant material and arguments;
- b) The opportunity to request discovery, respond in writing, and to request a probable cause conference within 21 days of service of the probable cause report;
- c) If the Commission met to consider whether a civil lawsuit should be filed in this matter, a copy of any staff memoranda submitted to the Commission and a transcript of staff discussions with the Commission at any such meeting; and
- d) If a timely request was made, a non-public conference with the General Counsel and the Enforcement Division staff to consider whether or not probable cause exists to believe the Act was violated.

### THE PROCEDURE

#### Probable Cause Report

Administrative enforcement proceedings are commenced with the service, by registered or certified mail or in person, of a probable cause report. The report will contain a summary of the law and the evidence, including any exculpatory and mitigating information of which the staff has knowledge and any other relevant material and arguments. It is filed with the Hearing Officer.

### **Discovery**

Within 21 calendar days following the service of the probable cause report, you may request discovery of the evidence in the possession of the Enforcement Division. This is not a right to full discovery of the Enforcement Division file, but to the evidence relied upon by the Division along with any exculpatory or mitigating evidence<sup>1</sup>.

This request must be sent by registered or certified mail to the Commission Assistant.

### **Response to Probable Cause Report**

Within 21 calendar days following the service of the probable cause report (or, if you timely requested discovery, within 21 calendar days from the service of the evidence) you may submit a response to the Report. By regulation, the written response may contain, "... a summary of evidence, legal arguments, and any mitigating or exculpatory information." (Cal. Code Regs., tit. 2, § 18361.4, subd. (c).)

You must file your response with the Commission Assistant and provide a copy, by service of process or registered or certified mail with return receipt requested, to all other proposed respondents listed in the probable cause report.

### **Staff Reply**

Within 10 calendar days following the date the response was filed with the Commission Assistant, Commission staff may submit any evidence or argument in rebuttal. You will be served with a copy of any such reply.

### **Probable Cause Conference**

Probable cause conferences are held at the offices of the Fair Political Practices Commission, which is located at 1102 Q Street, Suite 3000, Sacramento, CA 95811. You may appear at the conference in person or by telephone. The proceedings are not public unless all proposed respondents agree to open the conference to the public. Otherwise, the probable cause report, any written responses, and the probable cause conference itself are confidential.

Unless the probable cause conference is public, the only persons who may attend are the staff of the Commission, any proposed respondent and his or her attorney or representative, and, at the discretion of the Hearing Officer, witnesses.

The Hearing Officer may, but need not, permit testimony from witnesses. Probable cause conferences are less formal than court proceedings. The rules of evidence do not apply. The conferences will be recorded and a copy of the recording will be provided upon request.

Since it has the burden of proof, the Enforcement Division is permitted to open and close the conference presentations. The Hearing Officer may also hold the record open to receive additional evidence or arguments.

Probable cause conferences are not settlement conferences. The sole purpose of a probable cause conference is to determine whether or not there is probable cause to believe that the

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<sup>1</sup> But see Title 2, California Code of Regulations, Section 18362, which states that the Commission provides access to complaints, responses to complaints, and investigative files and information in accordance with the requirements of the Public Records Act. (Govt. Code § 6250, et seq.)

Political Reform Act was violated. Anyone who wishes to discuss settlement with the Enforcement Division may do so before or after the probable cause conference but not during the conference.

Pursuant to Title 2, California Code of Regulations, Section 18361.4, subdivision (e), the Hearing Officer will find probable cause "if the evidence is sufficient to lead a person of ordinary caution and prudence to believe or entertain a strong suspicion that a proposed respondent committed or caused a violation."

Ordinarily, probable cause determinations are made based upon the written probable cause report, any written response by the respondent, any written reply by the Enforcement Division, and the oral arguments presented at the conference. Timely written presentations are strongly recommended.

### **Probable Cause Order and Accusation**

Once the matter is submitted to the Hearing Officer, the probable cause decision will normally be made within ten days. If the Hearing Officer finds probable cause, he will issue a Finding of Probable Cause, which will be publicly announced at the next Commission Meeting. An accusation will be issued soon after the Finding of Probable Cause is publicly announced.

### **Continuances**

Every reasonable effort is made to accommodate the schedules of parties and counsel. However, once a date has been set it is assumed to be firm and will not be continued except upon the order of the Hearing Officer after a showing of good cause. Settlement negotiations will be considered good cause only if the Hearing Officer is presented with a fully executed settlement, or is convinced that settlement is imminent.

### **Settlements**

Settlement discussions may take place at any time except during the probable cause conference. In order to open settlement discussions, a proposed respondent or his or her counsel or representative should present a written offer to settle stating, where appropriate, the violations to be admitted, and the monetary penalty or other remedy to be tendered.

The Enforcement Division attorney assigned to the case will negotiate any potential settlement on behalf of the Fair Political Practices Commission, and will draft the language of the settlement agreement. The Hearing Officer will not directly participate in the negotiations, but will be represented by Enforcement Division attorneys. Staff attorneys will present settlement offers to the Hearing Officer for his/her approval.

### **CONCLUSION**

This fact sheet was intended to give you a brief summary of the probable cause process at the Fair Political Practices Commission. Such a summary cannot answer every question that might arise in such proceedings. Therefore, if you have any questions that are not addressed by this fact sheet or the copies of the law and regulations we have attached, feel free to contact the attorney whose name appears on the probable cause report.

*Attachments: Relevant Sections of (1) California Government Code , and (2) Regulations of the Fair Political Practices Commission, Title 2, Division 6 of the California Code of Regulations.*

## CALIFORNIA GOVERNMENT CODE

### Probable Cause Statutes

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#### **§ 83115.5. Probable cause; violation of title; notice of violation; summary of evidence; notice of rights; private proceedings**

No finding of probable cause to believe this title has been violated shall be made by the commission unless, at least 21 days prior to the commission's consideration of the alleged violation, the person alleged to have violated this title is notified of the violation by service of process or registered mail with return receipt requested, provided with a summary of the evidence, and informed of his right to be present in person and represented by counsel at any proceeding of the commission held for the purpose of considering whether probable cause exists for believing the person violated this title. Notice to the alleged violator shall be deemed made on the date of service, the date the registered mail receipt is signed, or if the registered mail receipt is not signed, the date returned by the post office. A proceeding held for the purpose of considering probable cause shall be private unless the alleged violator files with the commission a written request that the proceeding be public.

#### **§ 83116. Violation of title; probable cause; hearing; order**

When the Commission determines there is probable cause for believing this title has been violated, it may hold a hearing to determine if a violation has occurred. Notice shall be given and the hearing conducted in accordance with the Administrative Procedure Act (Chapter 5 (commencing with Section 11500), Part 1, Division 3, Title 2, Government Code). The Commission shall have all the powers granted by that chapter. When the Commission determines on the basis of the hearing that a violation has occurred, it shall issue an order that may require the violator to do all or any of the following:

- (a) Cease and desist violation of this title.
- (b) File any reports, statements, or other documents or information required by this title.
- (c) Pay a monetary penalty of up to five thousand dollars (\$5,000) per violation to the General Fund of the state. When the Commission determines that no violation has occurred, it shall publish a declaration so stating.

**REGULATIONS OF THE FAIR POLITICAL PRACTICES COMMISSION  
TITLE 2, DIVISION 6 OF THE CALIFORNIA CODE OF REGULATIONS**

**Probable Cause Regulations**

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**§ 18361 (b). Delegation by the Executive Director Pertaining to Enforcement Proceedings and Authority to Hear Probable Cause Proceedings.**

Probable cause proceedings under Regulation 18361.4 shall be heard by the General Counsel or an attorney from the Legal Division. The General Counsel may delegate the authority to hear probable cause proceedings, in writing, to an administrative law judge.

**§ 18361.4. Probable Cause Proceedings**

(a) Probable Cause Report. If the Chief of the Enforcement Division decides to commence probable cause proceedings pursuant to Sections 83115.5 and 83116, he or she shall direct the Enforcement Division staff to prepare a written report, hereafter referred to as "the probable cause report." The probable cause report shall contain a summary of the law and evidence gathered in connection with the investigation, including any exculpatory and mitigating information of which the staff has knowledge and any other relevant material and arguments. The evidence recited in the probable cause report may include hearsay, including declarations of investigators or others relating the statements of witnesses or concerning the examination of physical evidence.

(b) No probable cause hearing will take place until at least 21 calendar days after the Enforcement Division staff provides the following, by service of process or registered or certified mail with return receipt requested, to all proposed respondents:

- (1) A copy of the probable cause report;
- (2) Notification that the proposed respondents have the right to respond in writing to the probable cause report and to request a probable cause conference at which the proposed respondent may be present in person and represented by counsel, and;
- (3) If the Commission met in executive session on this matter pursuant to Regulation 18361.2, a copy of any staff memoranda submitted to the Commission at that time along with the recording of any discussion between the Commission and the staff at the executive session as required in subdivision (b) of Regulation 18361.2.

(c) Response to Probable Cause Report.

- (1) Each proposed respondent may submit a written response to the probable cause report. The response may contain a summary of evidence, legal arguments, and any mitigating or exculpatory information. A proposed respondent who submits a response must file it with the Commission Assistant who will forward the response to the General Counsel or an attorney in the Legal Division (the "hearing officer") and provide a copy, by service of process or registered or certified mail with return receipt requested, to all other proposed respondents listed in the probable cause report not later than 21 days following service of the probable cause report.
- (2) Within 21 calendar days following the service of the probable cause report, a proposed



respondent may request discovery of evidence in the possession of the Enforcement Division. This request must be sent by registered or certified mail to the Commission Assistant. Upon receipt of the request, the Enforcement Division shall provide discovery of evidence relied upon by the Enforcement Division sufficient to lead a person of ordinary caution and prudence to believe or entertain a strong suspicion that a proposed respondent committed or caused a violation, along with any exculpatory or mitigating evidence. This is not a right to full discovery of the Enforcement Division file. The Enforcement Division shall provide access to documents for copying by the Respondent, or upon agreement among the parties, the Enforcement Division will provide copies of the requested documents upon payment of a fee for direct costs of duplication. The Enforcement Division shall provide such evidence by service of process or registered or certified mail with return receipt requested to all respondents, with a copy to the Commission Assistant. A respondent may submit a written response to the probable cause report described in subsection (1) no later than 21 calendar days after service of discovery.

- (3) The Commission staff may submit any evidence or argument in rebuttal to the response. When the Commission staff submits evidence or argument in rebuttal to the response, it shall provide a copy, by service of process or registered or certified mail with return receipt requested, to all proposed respondents listed in the probable cause report not later than 10 calendar days following the date the response was filed with the Commission Assistant. The hearing officer may extend the time limitations in this section for good cause. At any time prior to a determination of probable cause, the hearing officer may allow additional material to be submitted as part of the initial response or rebuttal.

(d) Probable Cause Conference. Any proposed respondent may request a probable cause conference. The request shall be served upon the Commission Assistant and all other proposed respondents not later than 21 days after service of the probable cause report unless the hearing officer extends the time for good cause. The Commission Assistant shall fix a time for the probable cause conference and the hearing officer shall conduct the conference informally. The conference shall be closed to the public unless a proposed respondent requests and all other proposed respondents agree to a public conference. If the conference is not public, only members of the Commission staff, any proposed respondent and his or her legal counsel or representative shall have the right to be present and participate. The hearing officer may allow witnesses to attend and participate in part or all of the probable cause conference. In making this determination, the hearing officer shall consider the relevancy of the witness' proposed testimony, whether the witness has a substantial interest in the proceedings, and whether fairness requires that the witness be allowed to participate. Representatives of any civil or criminal prosecutor with jurisdiction may attend the conference at the discretion of the hearing officer if they agree to respect the confidential nature of the proceedings. If the conference is not open to the public and none of the parties and the presiding officer object, the conference may be conducted in whole or in part by telephone. The probable cause conference shall be recorded. The hearing officer may determine whether there is probable cause based solely on the probable cause report, any responses or rebuttals filed and any arguments presented at the probable cause conference by the interested parties. If the hearing officer requires additional information before determining whether there is probable cause, he or she may permit any party to submit additional evidence at the probable cause conference.

(e) Finding of Probable Cause. The hearing officer may find there is probable cause to believe a violation has occurred if the evidence is sufficient to lead a person of ordinary caution and prudence to believe or entertain a strong suspicion that a proposed respondent committed or caused a violation. A finding of probable cause by the hearing officer does not constitute a finding that a violation has actually occurred. The hearing officer shall not make a finding of probable cause if he or she is presented with clear and convincing evidence that, at a time prior to the alleged violation, the violator consulted with the staff of the Commission in good faith, disclosed truthfully all the material facts, and committed the acts complained of either in reliance on the advice of the staff or because of the staff's failure to provide advice. If the hearing officer makes a finding of probable cause, the Enforcement Division shall prepare an Accusation pursuant to Section 11503 and have it served upon the person or persons who are subjects of the probable cause finding. The hearing officer shall publicly announce the finding of probable cause. The announcement shall contain a summary of the allegations and a cautionary statement that the respondent is presumed to be innocent of any violation of the Act unless a violation is proved in a subsequent proceeding. The Chief of the Enforcement Division shall be responsible for the presentation of the case in support of the Accusation at an administrative hearing held pursuant to Section 83116.

#### **§ 18362. Access to Enforcement Records**

(a) Production of Enforcement Records. The Commission will make complaints, investigative files, and related records available to the public and members of the media in accordance with the Public Records Act (Government Code Section 6250, et seq.) Enforcement records requests should specifically identify the documents sought.

(b) Format of Enforcement Records. The Commission will make records available for inspection at its office during office hours. The Commission may provide copies of requested records either in paper or electronic format to the person that requested the records in lieu of inspecting the records at the Commission offices. Any person requesting paper copies of records must reimburse the Commission ten cents (\$0.10) per page to pay the cost of copying, or supply copying equipment and make copies in the offices of the Commission. Original records of the Commission may not be removed from the offices of the Commission.

(c) Complaint Notice Period. The Commission may not provide or make available complaints or related records until after the disclosure periods provided in Regulation 18360.

#### **§ 18361.2. Memorandum Respecting Civil Litigation.**

(a) If the Executive Director concludes civil litigation should be initiated, he or she shall submit to the Commission a written memorandum, which shall be first reviewed by the General Counsel, or an attorney from the Legal Division, summarizing the facts and the applicable law of the case and recommending the initiation of a lawsuit. The memorandum shall include all exculpatory and mitigating information known to the staff.

(b) The Commission shall review the memorandum at an executive session. The General

Counsel, or an attorney from the Legal Division, and the Commission Assistant shall be in attendance. No other member of the staff may be present unless the Commission meets with a member of the staff for that person to answer questions. The Commission may not resume its deliberations until the person is no longer present. Any communication between the Commission and the person during the executive session shall be recorded. After review of the memorandum, the Commission may direct the Executive Director to do any of the following:

- (1) Initiate civil litigation.
  - (2) Decide whether probable cause proceedings should be commenced pursuant to 2 Cal. Code of Regulations Section 18361.4.
  - (3) Return the matter to the staff for further investigation.
  - (4) Take no further action on the matter or take any other action it deems appropriate.
- (c) If the Commission decides to initiate civil litigation, the Commission may then permit other members of the staff to attend the executive session.
- (d) If the Executive Director deems it necessary, he or she may call a special meeting of the Commission to review a staff memorandum recommending the initiation of civil litigation.
- (e) It is the intent of the Commission in adopting this section to preserve for the members of the Commission the authority to decide whether alleged violations should be adjudicated in administrative hearings or in civil litigation, while at the same time avoiding the possibility that discussions with members of the staff might cause members of the Commission to prejudge a case that might be heard by the Commission under Government Code Section 83116.

**Exhibit A-3**

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DEFAULT DECISION AND ORDER FPPC NO. 16/724

**Ruth Yang**

---

**From:** Ruth Yang  
**Sent:** Monday, October 01, 2018 10:00 AM  
**To:** [REDACTED]  
**Subject:** FPPC Case No. 16/16932, probable cause report  
**Attachments:** 16-724 BFO - PC documents.pdf

Dear Mr. Obaldia:

Please find attached to this email a courtesy copy of the Probable Cause Report I mailed to you. If you have questions or concerns after reviewing the documents, please feel free to reach out to me.

Sincerely,  
Ruth Yang

**Ruth Yang**



Commission Counsel  
Enforcement Division  
Fair Political Practices Commission  
1102 Q Street, Suite 3000 | Sacramento, CA 95811  
(916) 322-7771 | [ryang@fppc.ca.gov](mailto:ryang@fppc.ca.gov)

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## Ruth Yang

---

**From:** Berman Obaldia [REDACTED]  
**Sent:** Monday, October 22, 2018 2:37 PM  
**To:** Ruth Yang  
**Subject:** FPPC case No. 16/16932

Dear Ms. Yang,

Pursuant to your email dated October 1, 2018, regarding case No 16/16932, I would like to request a probable cause conference to outline the circumstances of my situation.

Respectfully yours,

Berman Obaldia

**Exhibit A-4**

---

DEFAULT DECISION AND ORDER FPPC NO. 16/724

## Ruth Yang

---

**From:** Sasha Linker  
**Sent:** Thursday, November 01, 2018 9:14 AM  
**To:** 'Berman Obaldia'  
**Subject:** RE: FPPC case No. 16/16932

Hi Berman,

Please call (877) 411-9748; access code: 723284.

Sasha

**From:** Berman Obaldia [mailto: [REDACTED]]  
**Sent:** Wednesday, October 31, 2018 9:36 AM  
**To:** Sasha Linker <SLinker@fppc.ca.gov>  
**Subject:** Re: FPPC case No. 16/16932

Hi Sasha,

As of right now, I will plan on dialing into our meeting. If you can provide me with dial in number, I would appreciate that.

Thank you,

Berman Obaldia

On Fri, Oct 26, 2018, 2:39 PM Sasha Linker <[SLinker@fppc.ca.gov](mailto:SLinker@fppc.ca.gov)> wrote:

Mr. Obaldia,

I have scheduled the PC conference for January 30, 2019 at 10:00 am. Please let me know if you will be attending in person or by telephone.

Sasha

**From:** Berman Obaldia [mailto: [REDACTED]]  
**Sent:** Thursday, October 25, 2018 11:37 AM  
**To:** Sasha Linker <[SLinker@fppc.ca.gov](mailto:SLinker@fppc.ca.gov)>  
**Subject:** Re: FPPC case No. 16/16932



Hi Sasha,

Which of the following dates work for you in January:

1/29

1/30

1/31

Thank you,

Berman Obaldia

On Wed, Oct 24, 2018, 11:29 AM Sasha Linker <[SLinker@fppc.ca.gov](mailto:SLinker@fppc.ca.gov)> wrote:


Mr. Obaldia,

We are unfortunately unavailable in December. If you cannot attend in November, either by phone or in person, we will need to schedule in January 2019.

Please send me your availability for January 2019.

Thank you,

Sasha

**From:** Berman Obaldia [mailto:  
**Sent:** Wednesday, October 24, 2018 10:49 AM  
**To:** Sasha Linker <[SLinker@fppc.ca.gov](mailto:SLinker@fppc.ca.gov)>  
**Subject:** Re: FPPC case No. 16/16932

Good morning Sasha,

I will be unavailable the dates you proposed. I am available the third week of December.

Can you propose a few dates during that week.

Thank you,

Berman Obaldia

On Tue, Oct 23, 2018, 2:28 PM Sasha Linker <[SLinker@fppc.ca.gov](mailto:SLinker@fppc.ca.gov)> wrote:

Mr. Obaldia,

Ms. Yang sent your request for a PC conference to me. Please let me know if you are available during any of the following dates. You may attend the PC conference in person at our Sacramento office or by telephone.

Tuesday, 11/13 at 1:00 pm.

Wednesday, 11/14 at 10:00 am.

Monday, 11/19 at 1:00 pm.


Tuesday, 11/20 at 2:00 pm.

Please let me know at your earliest convenience.

Sasha

Sasha Linker  
Commission Assistant  
Fair Political Practices Commission  
1102 Q Street, Suite 3000 | Sacramento, CA 95811  
[slinker@fppc.ca.gov](mailto:slinker@fppc.ca.gov) | 916-327-8269

-----Original Message-----

From: Berman Obaldia [mailto:  
Sent: Monday, October 22, 2018 2:37 PM  
To: Ruth Yang <[ryang@fppc.ca.gov](mailto:ryang@fppc.ca.gov)>  
Subject: FPPC case No. 16/16932

Dear Ms. Yang,

Pursuant to your email dated October 1, 2018, regarding case No 16/16932, I would like to request a

probable cause conference to outline the circumstances of my situation.

Respectfully yours,

Berman Obaldia

**Exhibit A-5**

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DEFAULT DECISION AND ORDER FPPC NO. 16/724

1 **FAIR POLITICAL PRACTICES COMMISSION**  
2 1102 Q Street, Suite 3000  
3 Sacramento, CA 95811  
4 Telephone: (916) 322-5660

5 **BEFORE THE FAIR POLITICAL PRACTICES COMMISSION**  
6 **STATE OF CALIFORNIA**

7  
8 In the Matter of:

FPPC No. 16/724

9  
10 BFO & Associates  
11 and Berman Obaldia

ORDER RE: PROBABLE CAUSE

12 Respondents.  
13  
14  
15

16 This matter came on for a probable cause conference pursuant to Regulation 18361.4 on January  
17 30, 2019. Authority to conduct this proceeding and to determine the issue of probable cause was  
18 delegated to Senior Commission Counsel Jack Woodside under Regulation 18361. Appearing for the  
19 Enforcement Division were Commission Counsel Ruth Yang and Special Investigator Lance Hachigian.  
20 There were no appearances made on behalf of Respondents.

21 The purpose of a probable cause conference is for the Executive Director, or a duly authorized  
22 designee, to determine whether probable cause exists to believe that a respondent violated the Political  
23 Reform Act (the "Act")<sup>1</sup> as alleged by the Enforcement Division in its Report in Support of a Finding of  
24 Probable Cause.

25 Probable cause to believe a violation has occurred will be found to exist when "the evidence is  
26 sufficient to lead a person of ordinary caution and prudence to believe or entertain a strong suspicion  
27

28 <sup>1</sup> The Political Reform Act is contained in Government Code Sections 81000 through 91014. All statutory references are to the Government Code, unless otherwise indicated.

1 that a proposed respondent committed or caused a violation.” (Regulation 18361.4(e).) A finding of  
2 probable cause does not constitute a finding that a violation has actually occurred. (*Id.*)

3 The Report in Support of a Finding of Probable Cause alleges that Respondents violated the Act  
4 as follows:

5 Count 1: Failure to Timely File a Lobbying Firm Report

6 The Firm and Obaldia failed to timely file a lobbying firm report for quarter 1 of the  
7 2015-2016 legislative session, in violation of Sections 86114 and 86117.

8 Count 2: Failure to Timely File a Lobbying Firm Report and Lobbyist Report

9 The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for  
10 quarter 2 of the 2015-2016 legislative session, in violation of Sections 86113, 86114 and 86117.

11 Count 3: Failure to Timely File a Lobbying Firm Report and Lobbyist Report

12 The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for  
13 quarter 3 of the 2015-2016 legislative session, in violation of Sections 86113, 86114 and 86117.

14 Count 4: Failure to Timely File a Lobbying Firm Report and Lobbyist Report

15 The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for  
16 quarter 4 of the 2015-2016 legislative session, in violation of Sections 86113, 86114 and 86117.

17 Count 5: Failure to Timely File a Lobbying Firm Report and Lobbyist Report

18 The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for  
19 quarter 5 of the 2015-2016 legislative session, in violation of Sections 86113, 86114 and 86117.

20 Count 6: Failure to Timely File a Lobbying Firm Report and Lobbyist Report

21 The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for  
22 quarter 6 of the 2015-2016 legislative session, in violation of Sections 86113, 86114 and 86117.

23 Count 7: Failure to Timely File a Lobbying Firm Report and Lobbyist Report

24 The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for  
25 quarter 7 of the 2015-2016 legislative session, in violation of Sections 86113, 86114 and 86117.

26 ///

27 ///

1                    Count 8: Failure to Timely File a Lobbying Firm Report and Lobbyist Report

2                    The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for  
3                    quarter 8 of the 2015-2016 legislative session, in violation of Sections 86113, 86114 and 86117.

4                    Count 9: Acting as a Lobbyist with a Void Certification

5                    Obaldia acted as a lobbyist for quarter 5 of the 2015-2016 legislative session after his  
6                    certification was voided on January 16, 2016, in violation of Section 86103.

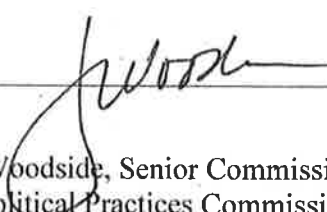
7  
8                    Based on the facts presented to me in documents submitted by the Enforcement Division, I find  
9                    that notice was given as provided by Section 83115.5 and Regulation 18361.4. I further find that there  
10                   is probable cause to believe Respondents violated the Political Reform Act as alleged in the Report in  
11                   Support of a Finding of Probable Cause. Notwithstanding this finding of probable cause, Respondents  
12                   are presumed to be innocent of any violation of the Act unless and until a violation is proved in a  
13                   subsequent proceeding.

14                   I therefore direct that the Enforcement Division issue an Accusation against Respondents in  
15                   accordance with this Finding.

16                   IT IS SO ORDERED.

17                   Dated: 2-1-19

18                   By: \_\_\_\_\_

19                     
20                   Jack Woodside, Senior Commission Counsel  
21                   Fair Political Practices Commission

**FPPC No. 16/724, In the matter of BFO & Associates and Berman Obaldia**  
**PROOF OF SERVICE**

At the time of service, I was over 18 years of age and not a party to this action. My business address is Fair Political Practices Commission, 1102 Q Street, Suite 3000, Sacramento, CA 95811. On the date below, I served the following document:

---

**ORDER RE: PROBABLE CAUSE**

---

**MANNER OF SERVICE**

**(U.S. Mail)** By causing a true copy thereof to be served on the parties in this action through the U.S. Mail and addressed as listed below. I am familiar with the procedure of the Fair Political Practices Commission for collection and processing of correspondence for mailing with the United States Postal Service, and the fact that the correspondence would be deposited with the United States Postal Service that same day in the ordinary course of business.

**SERVICE LIST**

Berman Obaldia  
BFO & Associates

**(By Personal Service) On Friday, February 1, 2019, at approximately 2:30 p.m., I personally served:**

Ruth Yang, Commission Counsel, at 1102 Q Street, Suite 3000, Sacramento, CA 95811.

I declare under penalty of perjury under the laws of the State of California that the above is true and correct and that this document is executed at Sacramento, California, on February 1, 2019.

  
Sasha Linker



**FPPC No. 16/724, In the matter of BFO & Associates and Berman Obaldia**

**PROOF OF SERVICE**

At the time of service, I was over 18 years of age and not a party to this action. My business address is Fair Political Practices Commission, 1102 Q Street, Suite 3000, Sacramento, CA 95811. On February 13, 2019, I served the following document:

**FINDING OF PROBABLE CAUSE AND ORDER TO PREPARE AND SERVE AN ACCUSATION**

**MANNER OF SERVICE**

**(U.S. Mail)** By causing a true copy thereof to be served on the parties in this action through the U.S. Mail and addressed as listed below. I am familiar with the procedure of the Fair Political Practices Commission for collection and processing of correspondence for mailing with the United States Postal Service, and the fact that the correspondence would be deposited with the United States Postal Service that same day in the ordinary course of business.

**SERVICE LIST**

Berman Obaldia  
2362 Maritime Drive, Suite 120  
Elk Grove, CA 95758

I declare under penalty of perjury under the laws of the State of California that the above is true and correct and that this document is executed at Sacramento, California, on April 11, 2019.



Sasha Linker

**Exhibit A-6**

---

DEFAULT DECISION AND ORDER FPPC NO. 16/724

1 GALENA WEST  
Chief of Enforcement  
2 RUTH YANG  
Commission Counsel  
3 **FAIR POLITICAL PRACTICES COMMISSION**  
1102 Q St., Suite 3000  
4 Sacramento, CA 95811  
Telephone: (916) 322-7771  
5 Email: ryang@fppc.ca.gov

6 Attorneys for Complainant  
Enforcement Division of the Fair Political Practices Commission  
7

8  
9 **BEFORE THE FAIR POLITICAL PRACTICES COMMISSION**  
10 **STATE OF CALIFORNIA**

11 In the Matter of ) FPPC No. 16/724  
12 )  
13 BFO & ASSOCIATES ) **ACCUSATION**  
14 and BERMAN OBALDIA, )  
15 ) (Gov. Code §11503)  
16 Respondents. )  
17 )

18 Complainant, the Enforcement Division of the Fair Political Practices Commission, after a finding  
19 of probable cause pursuant to Government Code Section 83115.5, alleges the following:

20 **JURISDICTION**

21 1. Complainant is the Enforcement Division of the Fair Political Practices Commission (the  
22 "Commission") and makes this Accusation in its official capacity and in the public interest.

23 2. The authority to bring this action is derived from Title 2, California Code of Regulations,  
24 Sections 18361 and 18361.4, subdivision (e), and the statutory law of the State of California, specifically  
25 including, but not limited to, Government Code Sections 83111, 83116, and 91000.5, which assign to the  
26 Enforcement Division the duty to administer, implement, and enforce the provisions of the Political  
27 Reform Act, found at Government Code Sections 81000 through 91014.

28 ///

1           3.       When enacting the Political Reform Act (the “Act”),<sup>1</sup> California voters specifically found  
2 and declared that previous laws regulating political practices had suffered from inadequate enforcement,  
3 and it was their purpose to ensure that the Act be vigorously enforced.<sup>2</sup>

4           4.       To that end, Section 81003 requires that the Act be liberally construed to achieve its  
5 purposes.

6           5.       One of the stated purposes of the Act is to ensure that the activities and finances of  
7 lobbyists are disclosed so that improper influences are not directed at public officials.<sup>3</sup>

8   **RESPONDENTS**

9           6.       Respondent BFO & Associates (the “Firm”) was a registered lobbying firm for the 2015-  
10 2016 legislative session.

11          7.       Respondent Berman Obaldia (“Obaldia”) was the sole responsible officer and lobbyist for  
12 the Firm.

13   **APPLICABLE LAW**

14          8.       All applicable law in this Accusation is the law as it existed during the relevant time for  
15 the violations alleged.

16       **A.   Duty to Timely File Quarterly Reports**

17          9.       A lobbying firm is defined, in part, as a “business entity [that] receives or becomes entitled  
18 to receive any compensation ... for the purpose of influencing legislative or administrative action on  
19 behalf of any other person.”<sup>4</sup>

20          10.      A registered lobbying firm must maintain accurate accounting and file a quarterly report  
21 with the Secretary of State (“SOS”), disclosing the firm’s clients, total amount of payments received from  
22 each client, periodic reports of each lobbyist, activity expenses incurred, and any contributions of \$100  
23 or more made by the lobbying firm.<sup>5</sup>

24 ///

25 \_\_\_\_\_  
26           <sup>1</sup> The Political Reform Act is contained in Government Code sections 81000 through 91014. The regulations of the  
Fair Political Practices Commission are contained in Sections 18110 through 18997 of Title 2 of the California Code of  
Regulations.

27           <sup>2</sup> Sections 81001, subd. (h), and 81002, subd. (f).

<sup>3</sup> Section 81002, subd. (b).

28           <sup>4</sup> Section 82038.5, subd. (a).

<sup>5</sup> Section 86114, subd. (a), and Regulation 18613.

1 11. Additionally, a lobbyist must prepare a lobbying report each quarter that is filed with the  
2 lobbying firm's report. The lobbyist report discloses all activity expenses and contributions made to a  
3 state elected official or candidate by the lobbyist.<sup>6</sup>

4 12. These reports must be filed with SOS four times per calendar year by the end of the month  
5 following each calendar quarter:<sup>7</sup>

Quarters	Dates Covered	Due Date
1 and 5	January 1 – March 31	April 30
2 and 6	April 1 – June 30	July 31
3 and 7	July 1 – September 30	October 31
4 and 8	October 1 – December 31	January 31

6  
7  
8  
9 13. A lobbying firm and lobbyist may end their filing obligations by filing a termination or  
10 withdrawal statement with SOS.<sup>8</sup>

11 **B. Conditional Lobbyist Certification**

12 14. A lobbyist who is a partner in a lobbying firm must prepare a lobbyist certification to file  
13 with SOS as part of the registration for the lobbying firm.<sup>9</sup>

14 15. A new lobbyist certification includes, among other things, a statement that the lobbyist  
15 will complete a scheduled ethics orientation course within 12 months of filing a lobbyist certification.<sup>10</sup>

16 16. SOS accepts the certification on a conditional basis. Failure to complete the ethics course  
17 within the 12 months voids the conditional lobbyist certification, and the lobbyist shall not act as a  
18 lobbyist until he or she completes the course and files a lobbyist certification affirming completion of the  
19 course.<sup>11</sup>

20 17. It is a violation of the Act to act as a lobbyist once a lobbyist's conditional certification is  
21 void.<sup>12</sup>

22 **C. Factors to be Considered by the Fair Political Practices Commission**

23 18. In framing a proposed order following a finding of a violation pursuant to Section 83116,  
24 the Commission and the administrative law judge shall consider all the surrounding circumstances

25 <sup>6</sup> Section 86113.

26 <sup>7</sup> Sections 86117 and 86118.

27 <sup>8</sup> Section 86107.

28 <sup>9</sup> Section 86100, subd. (a).

<sup>10</sup> Section 86103, subd. (d)(2), and Regulation 18603.1, subd. (b).

<sup>11</sup> Id.

<sup>12</sup> Id.

1 including but not limited to: (1) The seriousness of the violation; (2) The presence or absence of any  
2 intention to conceal, deceive or mislead; (3) Whether the violation was deliberate, negligent or  
3 inadvertent; (4) Whether the violator demonstrated good faith by consulting the Commission staff or any  
4 other government agency in a manner not constituting a complete defense under Section 83114(b); (5)  
5 Whether the violation was isolated or part of a pattern and whether the violator has a prior record of  
6 violations of the Act or similar laws; and (6) Whether the violator, upon learning of a reporting violation,  
7 voluntarily filed amendments to provide full disclosure.<sup>13</sup>

### 8 GENERAL FACTS

9 19. On January 16, 2015, the Firm registered as a lobbying firm and Obaldia registered as a  
10 lobbyist.

11 20. The Firm received payments for lobbying from JEA and Associates ("JEA") to lobby on  
12 behalf of Redflex Traffic Systems, Inc., which provides vehicle monitoring and enforcement services for  
13 government, police and traffic departments globally.

14 21. JEA reported paying the Firm \$10,800 for the reporting period of January 1, 2015 through  
15 March 31, 2015; \$10,800 for the reporting period of April 1, 2015 through June 30, 2015; \$7,200 for the  
16 reporting period of July 1, 2015 through September 30, 2015; \$10,800 for the reporting period of  
17 October 1, 2015 through December 31, 2015; and \$7,200 for the reporting period of January 1, 2016  
18 through March 31, 2016. In total, JEA reported paying the Firm \$46,800 during the 2015-2016 legislative  
19 session.

20 22. The Firm failed to timely file its quarter 1 report in 2015 by April 30, 2015 and did not  
21 timely file any subsequent quarterly reports.

22 23. Because the Firm had not timely filed its periodic reports, almost all lobbyist reports for  
23 Obaldia had not been timely filed. Obaldia independently filed a lobbyist report for quarter 1 on  
24 April 30, 2015 and an amendment on July 23, 2015, reporting no activity in both. Obaldia did not file  
25 lobbyist reports for any subsequent reporting periods.

26 24. SOS revoked Obaldia's registration as a lobbyist on January 16, 2016 due to his failure to  
27 complete a requisite lobbying ethics course.

28 <sup>13</sup> Regulation 18361.5, subd. (d).

1 25. Obaldia continued to provide lobbying services to JEA through March 31, 2016.

2 **PROCEDURAL HISTORY**

3 26. SOS notified the Firm and Obaldia in writing on October 8, 2015 and January 14, 2016  
4 that the Firm had failed to timely file a periodic report for the reporting period ending on June 30, 2015.  
5 After the Firm and Obaldia did not file the required statement, SOS referred the matter to the Enforcement  
6 Division.

7 27. The Enforcement Division contacted the Firm and Obaldia multiple times via U.S. mail,  
8 email, and voicemail regarding outstanding periodic filings.

9 28. The Enforcement Division initiated an administrative action against the Firm and Obaldia  
10 in this matter by twice attempting to serve them with a packet containing a cover letter, a Report in  
11 Support of a Finding of Probable Cause ("PC Report"), a fact sheet regarding probable cause proceedings,  
12 selected sections of the Government Code regarding probable cause proceedings for the Commission,  
13 and selected regulations of the Commission regarding probable cause proceedings. The Enforcement  
14 Division was not successful in serving the Firm and Obaldia with the PC Report in these two attempts.

15 29. On October 1, 2018, the Enforcement Division provided the Firm and Obaldia with an  
16 electronic courtesy copy of the PC Report. The information contained in the PC Report packet advised  
17 the Firm and Obaldia that they had 21 days in which to request a probable cause conference, file a written  
18 response to the PC Report, or both.

19 30. On October 22, 2018, Obaldia responded to the electronic courtesy copy of the PC Report  
20 and requested a probable cause conference by electronic mail. By requesting a probable cause conference,  
21 Obaldia indicated that the Firm and Obaldia received adequate notice regarding the violations that they  
22 are alleged to have committed under the Act.

23 31. A Hearing Officer conducted the probable cause conference on January 30, 2019, but no  
24 appearances were made on behalf of the Firm or Obaldia.

25 32. On or about February 1, 2019, the Hearing Officer issued an order finding, based on the  
26 probable cause conference and the PC Report, that there was probable cause to believe the Firm and  
27 Obaldia violated the Act and directed the Enforcement Division to issue an accusation against the Firm  
28 and Obaldia in accordance with the finding.

1 **VIOLATIONS**

2 33. The Firm and Obaldia committed 8 violations and Obaldia independently committed 1  
3 violation of the Act as follows:

4 **Count 1**

5 **Failure to Timely File a Lobbying Firm Report**

6 34. Complainant incorporates paragraphs 1 – 33 of this Accusation, as though completely set  
7 forth here.

8 35. The Firm and Obaldia had a duty to timely file a lobbying firm report for quarter 1 of the  
9 2015-2016 legislative session by April 30, 2015.

10 36. The Firm and Obaldia failed to timely file a lobbying firm report for quarter 1 of the  
11 2015-2016 legislative session by April 30, 2015.

12 37. By failing to file the lobbying firm report by April 30, 2015, the Firm and Obaldia violated  
13 Sections 86114 and 86117.

14 **Count 2**

15 **Failure to Timely File a Lobbying Firm Report and Lobbyist Report**

16 38. Complainant incorporates paragraphs 1 – 37 of this Accusation, as though completely set  
17 forth here.

18 39. The Firm and Obaldia had a duty to timely file a lobbying firm report and lobbyist report  
19 for quarter 2 of the 2015-2016 legislative session by July 31, 2015.

20 40. The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for  
21 quarter 2 of the 2015-2016 legislative session by July 31, 2015.

22 41. By failing to file the lobbying firm report and lobbyist report by July 31, 2015, the Firm  
23 and Obaldia violated Sections 86113, 86114, and 86117.

24 **Count 3**

25 **Failure to Timely File a Lobbying Firm Report and Lobbyist Report**

26 42. Complainant incorporates paragraphs 1 – 41 of this Accusation, as though completely set  
27 forth here.

28 ///





1 **Count 6**

2 **Failure to Timely File a Lobbying Firm Report and Lobbyist Report**

3 54. Complainant incorporates paragraphs 1 – 53 of this Accusation, as though completely set  
4 forth here.

5 55. The Firm and Obaldia had a duty to timely file a lobbying firm report and lobbyist report  
6 for quarter 6 of the 2015-2016 legislative session by July 31, 2016.

7 56. The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for  
8 quarter 6 of the 2015-2016 legislative session by July 31, 2016.

9 57. By failing to file the lobbying firm report and lobbyist report by July 31, 2016, the Firm  
10 and Obaldia violated Sections 86113, 86114, and 86117.

11 **Count 7**

12 **Failure to Timely File a Lobbying Firm Report and Lobbyist Report**

13 58. Complainant incorporates paragraphs 1 – 57 of this Accusation, as though completely set  
14 forth here.

15 59. The Firm and Obaldia had a duty to timely file a lobbying firm report and lobbyist report  
16 for quarter 7 of the 2015-2016 legislative session by October 31, 2016.

17 60. The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for  
18 quarter 7 of the 2015-2016 legislative session by October 31, 2016.

19 61. By failing to file the lobbying firm report and lobbyist report by October 31, 2016, the  
20 Firm and Obaldia violated Sections 86113, 86114, and 86117.

21 **Count 8**

22 **Failure to Timely File a Lobbying Firm Report and Lobbyist Report**

23 62. Complainant incorporates paragraphs 1 – 61 of this Accusation, as though completely set  
24 forth here.

25 63. The Firm and Obaldia had a duty to timely file a lobbying firm report and lobbyist report  
26 for quarter 8 of the 2015-2016 legislative session by January 31, 2017.

27 64. The Firm and Obaldia failed to timely file a lobbying firm report and lobbyist report for  
28 quarter 8 of the 2015-2016 legislative session by January 31, 2017.

1 65. By failing to file the lobbying firm report and lobbyist report by January 31, 2017, the  
2 Firm and Obaldia violated Sections 86113, 86114, and 86117.

3 **Count 9**

4 **Prohibition Against Acting as a Lobbyist Once Conditional Certification is Void**

5 66. Complainant incorporates paragraphs 1 – 65 of this Accusation, as though completely set  
6 forth here.

7 67. Obaldia was prohibited from acting as a lobbyist for the 2015-2016 legislative session  
8 after his conditional certification was void on January 16, 2016.

9 68. Obaldia continued to provide lobbying services for the 2015-2016 legislative session after  
10 his conditional certification was void on January 16, 2016.

11 69. By acting as a lobbyist after his conditional certification was void, Obaldia violated  
12 Section 86103.

13 **MITIGATING OR EXCULPATORY FACTORS**

14 70. The Firm and Obaldia filed all 8 of the outstanding periodic filings on March 13, 2018.

15 71. The Firm and Obaldia do not have prior enforcement history for violating the Act.

16 **AGGRAVATING FACTORS AND OTHER RELEVANT MATERIALS**

17 72. The Firm and Obaldia did not disclose most of their activities in the 2015-2016 legislative  
18 session until at least two years later.

19 **PRAYER**

20 WHEREFORE, Complainant prays as follows:

- 21 1. That the Fair Political Practices Commission hold a hearing pursuant to Section 83116 and  
22 Regulation 18361.5, and at such hearing find that the Firm and Obaldia violated the Act as  
23 alleged herein;
- 24 2. That the Fair Political Practices Commission, pursuant to Section 83116, subdivision (c),  
25 order the Firm and Obaldia to pay a monetary penalty of up to \$5,000 for the violation of  
26 the Political Reform Act alleged in **Count 1**;

27 ///

28 ///

- 1           3.     That the Fair Political Practices Commission, pursuant to Section 83116, subdivision (c),  
2           order the Firm and Obaldia to pay a monetary penalty of up to \$5,000 for the violation of  
3           the Political Reform Act alleged in **Count 2**;
- 4           4.     That the Fair Political Practices Commission, pursuant to Section 83116, subdivision (c),  
5           order the Firm and Obaldia to pay a monetary penalty of up to \$5,000 for the violation of  
6           the Political Reform Act alleged in **Count 3**;
- 7           5.     That the Fair Political Practices Commission, pursuant to Section 83116, subdivision (c),  
8           order the Firm and Obaldia to pay a monetary penalty of up to \$5,000 for the violation of  
9           the Political Reform Act alleged in **Count 4**;
- 10          6.     That the Fair Political Practices Commission, pursuant to Section 83116, subdivision (c),  
11          order the Firm and Obaldia to pay a monetary penalty of up to \$5,000 for the violation of  
12          the Political Reform Act alleged in **Count 5**;
- 13          7.     That the Fair Political Practices Commission, pursuant to Section 83116, subdivision (c),  
14          order the Firm and Obaldia to pay a monetary penalty of up to \$5,000 for the violation of  
15          the Political Reform Act alleged in **Count 6**;
- 16          8.     That the Fair Political Practices Commission, pursuant to Section 83116, subdivision (c),  
17          order the Firm and Obaldia to pay a monetary penalty of up to \$5,000 for the violation of  
18          the Political Reform Act alleged in **Count 7**;
- 19          9.     That the Fair Political Practices Commission, pursuant to Section 83116, subdivision (c),  
20          order the Firm and Obaldia to pay a monetary penalty of up to \$5,000 for the violation of  
21          the Political Reform Act alleged in **Count 8**;
- 22          10.    That the Fair Political Practices Commission, pursuant to Section 83116, subdivision (c),  
23          order the Firm and Obaldia to pay a monetary penalty of up to \$5,000 for the violation of  
24          the Political Reform Act alleged in **Count 9**;
- 25          11.    That the Fair Political Practices Commission, pursuant to Regulation 18361.5, subdivision  
26          (d), consider the following factors in framing a proposed order following a finding of a  
27          violation pursuant to Section 83116: (1) the seriousness of the violation; (2) the presence  
28          or absence of any intention to conceal, deceive or mislead; (3) whether the violation was

1 deliberate, negligent or inadvertent; (4) whether the violator demonstrated good faith by  
2 consulting the Commission staff or any other government agency in a manner not  
3 constituting a complete defense under Section 83114, subdivision (b); (5) whether the  
4 violation was isolated or part of a pattern and whether the violator has a prior record of  
5 violations of the Act or similar laws; and (6) whether the violator, upon learning of a  
6 reporting violation, voluntarily filed amendments to provide full disclosure.

7 12. That the Fair Political Practices Commission grant such other and further relief as it deems  
8 just and proper.  
9

10  
11 Dated:

10 April 19

  
\_\_\_\_\_  
Galena West  
Chief of Enforcement  
Fair Political Practices Commission

**Exhibit A-7**

---

DEFAULT DECISION AND ORDER FPPC NO. 16/724

**In the Matter of Fair Political Practices Commission, Case No. 2016-00724**

***PROOF OF SERVICE***

I, the undersigned, declare as follows:

1. I am a citizen of the United States, over the age of eighteen years, and not a party to the above entitled action. My business address is 1102 Q Street, Suite 3000, Sacramento, California 95811.
2. On April 24, 2019, I served the following documents:
  - a. Statement to Respondent;
  - b. FPPC Case No. 16/724: Accusation;
  - c. Notice of Defense for BFO & Associates (Two Copies);
  - d. Notice of Defense for Berman Obaldia (Two Copies);
  - e. Selected Sections of the California Government Code, Administrative Procedure Act.
3. Party served: Berman Obaldia
4. Person served: Amritpal Hayer
5. Address where Person was served: 2362 Maritime Dr. Suite 120, Elk Grove CA 95758
6. I served the party by: substitute service.
  - a. I personally delivered the documents listed in item 2 to the party or person authorized to receive service of process for the party on April 24, 2019, at approximately 11:19 am.
  - b. See attached Declaration of Due Diligence
  - c. I thereafter mailed by First Class, (postage prepaid) copies of the documents to the person at the place where the copies were left (Code Civil Procedure 415.20). I mailed the documents on April 25, 2019.
7. I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date: 4/25/2019



---

(SIGNATURE)

Roone Petersen

**DECLARATION OF DUE DILIGENCE**

I am unable to serve the following person: Berman Obaldia

I have made reasonable efforts to locate and serve the person, including the following:

Date: 4/15/2019 Time: 4:30pm

Address: 2362 Maritime Dr., Suite 120  
Elk Grove, CA 95758

Comments: Spoke to his assistant, she told be that Obaldia is in on Tuesdays and Thursdays 9-5.

Note: this is a small 3 room office.

Date: 4/16/2019 Time: 9:00 am

Address: 2362 Maritime Dr, Suite 120  
Elk Grove, CA 95758

Comments: Assistant stated that he would be in at 11:30 am, I left my card

Obaldia called me at 11:40 am, He agreed to meet me at Starbucks (15<sup>th</sup> and R) on Friday

April 19, 2019 at 10:00 am. He cancelled by phone message at 8:22 pm on April 18, 2019

Date: 4/19/2019 Time: 2:30 pm

Address: 2362 Maritime Dr, Suite 120  
Elk Grove, CA 95758

Comments: Office Closed

Other efforts I have made include: \_\_\_\_\_

(ATTACH AN ADDITIONAL PAGE IF NECESSARY)

I declare under penalty of perjury that the foregoing is true and correct.

Date: 4 25/2019

  
(SIGNATURE)



**Exhibit A-8**

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DEFAULT DECISION AND ORDER FPPC NO. 16/724



## FAIR POLITICAL PRACTICES COMMISSION

1102 Q Street • Suite 3000 • Sacramento, CA 95811

### STATEMENT TO RESPONDENT

[Government Code Section 11505, subdivision (b)]

***BFO & Associates and Berman Obaldia***

***FPPC Case No. 16/724***

Enclosed is an Accusation, which was filed with the Fair Political Practices Commission (the "FPPC") and which is hereby served upon you, along with two copies of a Notice of Defense and Government Code Sections 11506 through 11508.

Unless a written request for a hearing signed by you or on your behalf is delivered or mailed to the FPPC within 15 days after the Accusation was served on you, the FPPC may proceed upon the Accusation without a hearing. The request for a hearing may be made by delivering or mailing the enclosed form entitled Notice of Defense, or by delivering or mailing a notice of defense as provided by Section 11506 of the Government Code to the Commission Assistant at the FPPC.

You may, but need not, be represented by counsel at any or all stages of these proceedings.

If you desire a list of the names and addresses of witnesses against you, or an opportunity to inspect and copy the items mentioned in Section 11507.6 of the Government Code that are in the possession, custody, or control of this agency, or if you wish to discuss the possibility of resolving this matter without a formal hearing, you may contact Ruth Yang, Commission Counsel, Enforcement Division, at (916) 322-7771 or at [ryang@fppc.ca.gov](mailto:ryang@fppc.ca.gov).

The hearing may be postponed for good cause. If you have good cause, you are obliged to notify the FPPC or, if an administrative law judge has been assigned to the hearing, the Office of Administrative Hearings, within 10 working days after you discover the good cause. Failure to give notice within 10 days will deprive you of a postponement.

After a hearing, the FPPC will consider the following factors in determining whether to assess a penalty (Title 2, California Code of Regulations, Section 18361.5, subdivision (d).):

1. The seriousness of the violation;
2. The presence or absence of any intention to conceal, deceive, or mislead;
3. Whether the violation was deliberate, negligent, or inadvertent;
4. Whether the violator demonstrated good faith by consulting Commission staff or any other government agency in a manner not constituting a complete defense under Government Code Section 83114, subdivision (b);
5. Whether the violation was isolated or part of a pattern;
6. Whether the violator has a prior record of violations of the Political Reform Act or similar laws; and
7. Whether the violator, upon learning of a reporting violation, voluntarily filed amendments to provide full disclosure.



***Before the Fair Political Practices Commission***

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**State of California**

In the Matter of	)	NOTICE OF DEFENSE
	)	(Pursuant to Gov. Code § 11506)
	)	
BFO & ASSOCIATES and	)	FPPC Case No. 16/724
BERMAN OBALDIA,	)	
	)	
Respondents.	)	
	)	
	)	

---

BFO & Associates, a respondent named in the above entitled proceeding, hereby acknowledges receipt of the Accusation, a copy of the Statement to Respondent, a copy of Government Code Sections 11506 through 11508, and two copies of a *NOTICE OF DEFENSE*.

Pursuant to Government Code Section 11506, subdivision (a), you may file this *NOTICE OF DEFENSE* requesting a hearing on the grounds listed below. Failure to file this *NOTICE OF DEFENSE* shall constitute a waiver of your right to a hearing. If you waive your right to a hearing, you may file a statement of mitigation by separate letter that will be considered by the Commission in assessing any penalties for the violations alleged in the Accusation.

If you wish to file a *NOTICE OF DEFENSE*, please check **all** applicable grounds for the *NOTICE OF DEFENSE*, complete the remainder of the form, and mail to the Commission within fifteen (15) days of receipt of the Accusation.

**GROUNDS FOR NOTICE OF DEFENSE**

- 1) I request a hearing;
- 2) I object to the Accusation upon the ground that it does not state acts or omissions upon which the agency may proceed;
- 3) I object to the form of the Accusation on the ground that it is so indefinite or uncertain that I cannot identify the transaction that is the subject of the Accusation or prepare my defense;
- 4) I admit the Accusation in whole or in part (check box "a" or "b");
  - a) I admit the Accusation in whole.
  - b) I admit the Accusation in part as indicated below:  
  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- 5) I wish to present new matter by way of defense;
- 6) I object to the accusation upon the ground that, under the circumstances, compliance with the requirements of a regulation of the Fair Political Practices Commission would result in a material violation of another regulation enacted by another department affecting substantive rights.

Dated: \_\_\_\_\_

\_\_\_\_\_  
Respondent

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Mailing Address

\_\_\_\_\_  
City, State, Zip



*Before the Fair Political Practices Commission*

---

**State of California**

In the Matter of )  
 ) NOTICE OF DEFENSE  
 ) (Pursuant to Gov. Code § 11506)  
 )  
 BFO & ASSOCIATES and )  
 BERMAN OBALDIA, ) FPPC Case No. 16/724  
 )  
 )  
 Respondents. )  
 )  
 )  
 )

---

BFO & Associates, a respondent named in the above entitled proceeding, hereby acknowledges receipt of the Accusation, a copy of the Statement to Respondent, a copy of Government Code Sections 11506 through 11508, and two copies of a *NOTICE OF DEFENSE*.

Pursuant to Government Code Section 11506, subdivision (a), you may file this *NOTICE OF DEFENSE* requesting a hearing on the grounds listed below. Failure to file this *NOTICE OF DEFENSE* shall constitute a waiver of your right to a hearing. If you waive your right to a hearing, you may file a statement of mitigation by separate letter that will be considered by the Commission in assessing any penalties for the violations alleged in the Accusation.

If you wish to file a *NOTICE OF DEFENSE*, please check **all** applicable grounds for the *NOTICE OF DEFENSE*, complete the remainder of the form, and mail to the Commission within fifteen (15) days of receipt of the Accusation.

**GROUND FOR NOTICE OF DEFENSE**

- 1) I request a hearing;
- 2) I object to the Accusation upon the ground that it does not state acts or omissions upon which the agency may proceed;
- 3) I object to the form of the Accusation on the ground that it is so indefinite or uncertain that I cannot identify the transaction that is the subject of the Accusation or prepare my defense;
- 4) I admit the Accusation in whole or in part (check box "a" or "b");
  - a) I admit the Accusation in whole.
  - b) I admit the Accusation in part as indicated below:

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- 5) I wish to present new matter by way of defense;
- 6) I object to the accusation upon the ground that, under the circumstances, compliance with the requirements of a regulation of the Fair Political Practices Commission would result in a material violation of another regulation enacted by another department affecting substantive rights.

Dated: \_\_\_\_\_

\_\_\_\_\_  
Respondent

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Mailing Address

\_\_\_\_\_  
City, State, Zip



*Before the Fair Political Practices Commission*

---

**State of California**

In the Matter of	)	NOTICE OF DEFENSE
	)	(Pursuant to Gov. Code § 11506)
	)	
BFO & ASSOCIATES and	)	FPPC Case No. 16/724
BERMAN OBALDIA,	)	
	)	
Respondents.	)	
	)	
	)	

---

Berman Obaldia, a respondent named in the above entitled proceeding, hereby acknowledges receipt of the Accusation, a copy of the Statement to Respondent, a copy of Government Code Sections 11506 through 11508, and two copies of a *NOTICE OF DEFENSE*.

Pursuant to Government Code Section 11506, subdivision (a), you may file this *NOTICE OF DEFENSE* requesting a hearing on the grounds listed below. Failure to file this *NOTICE OF DEFENSE* shall constitute a waiver of your right to a hearing. If you waive your right to a hearing, you may file a statement of mitigation by separate letter that will be considered by the Commission in assessing any penalties for the violations alleged in the Accusation.

If you wish to file a *NOTICE OF DEFENSE*, please check **all** applicable grounds for the *NOTICE OF DEFENSE*, complete the remainder of the form, and mail to the Commission within fifteen (15) days of receipt of the Accusation.

**GROUNDS FOR NOTICE OF DEFENSE**

- 1) I request a hearing;
- 2) I object to the Accusation upon the ground that it does not state acts or omissions upon which the agency may proceed;
- 3) I object to the form of the Accusation on the ground that it is so indefinite or uncertain that I cannot identify the transaction that is the subject of the Accusation or prepare my defense;
- 4) I admit the Accusation in whole or in part (check box "a" or "b");
  - a) I admit the Accusation in whole.
  - b) I admit the Accusation in part as indicated below:

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- 5) I wish to present new matter by way of defense;
- 6) I object to the accusation upon the ground that, under the circumstances, compliance with the requirements of a regulation of the Fair Political Practices Commission would result in a material violation of another regulation enacted by another department affecting substantive rights.

Dated: \_\_\_\_\_

\_\_\_\_\_  
Respondent

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Mailing Address

\_\_\_\_\_  
City, State, Zip





**Before the Fair Political Practices Commission**

---

**State of California**

In the Matter of )  
 ) NOTICE OF DEFENSE  
 ) (Pursuant to Gov. Code § 11506)  
 )  
 BFO & ASSOCIATES and )  
 BERMAN OBALDIA, ) FPPC Case No. 16/724  
 )  
 )  
 Respondents. )  
 )  
 )  
 )

---

Berman Obaldia, a respondent named in the above entitled proceeding, hereby acknowledges receipt of the Accusation, a copy of the Statement to Respondent, a copy of Government Code Sections 11506 through 11508, and two copies of a *NOTICE OF DEFENSE*.

Pursuant to Government Code Section 11506, subdivision (a), you may file this *NOTICE OF DEFENSE* requesting a hearing on the grounds listed below. Failure to file this *NOTICE OF DEFENSE* shall constitute a waiver of your right to a hearing. If you waive your right to a hearing, you may file a statement of mitigation by separate letter that will be considered by the Commission in assessing any penalties for the violations alleged in the Accusation.

If you wish to file a *NOTICE OF DEFENSE*, please check **all** applicable grounds for the *NOTICE OF DEFENSE*, complete the remainder of the form, and mail to the Commission within fifteen (15) days of receipt of the Accusation.

**GROUNDS FOR NOTICE OF DEFENSE**

- 1) I request a hearing;
- 2) I object to the Accusation upon the ground that it does not state acts or omissions upon which the agency may proceed;
- 3) I object to the form of the Accusation on the ground that it is so indefinite or uncertain that I cannot identify the transaction that is the subject of the Accusation or prepare my defense;
- 4) I admit the Accusation in whole or in part (check box "a" or "b");
  - a) I admit the Accusation in whole.
  - b) I admit the Accusation in part as indicated below:

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- 5) I wish to present new matter by way of defense;
- 6) I object to the accusation upon the ground that, under the circumstances, compliance with the requirements of a regulation of the Fair Political Practices Commission would result in a material violation of another regulation enacted by another department affecting substantive rights.

Dated: \_\_\_\_\_

\_\_\_\_\_  
Respondent

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Mailing Address

\_\_\_\_\_  
City, State, Zip

## **California Government Code sections 11506 through 11508**

### **§ 11506. Filing of notice of defense or notice of participation; Contents; Right to hearing on the merits**

(a) Within 15 days after service of the accusation or District Statement of Reduction in Force the respondent may file with the agency a notice of defense, or, as applicable, notice of participation, in which the respondent may:

(1) Request a hearing.

(2) Object to the accusation or District Statement of Reduction in Force upon the ground that it does not state acts or omissions upon which the agency may proceed.

(3) Object to the form of the accusation or District Statement of Reduction in Force on the ground that it is so indefinite or uncertain that the respondent cannot identify the transaction or prepare a defense.

(4) Admit the accusation or District Statement of Reduction in Force in whole or in part.

(5) Present new matter by way of defense.

(6) Object to the accusation or District Statement of Reduction in Force upon the ground that, under the circumstances, compliance with the requirements of a regulation would result in a material violation of another regulation enacted by another department affecting substantive rights.

(b) Within the time specified the respondent may file one or more notices of defense, or, as applicable, notices of participation, upon any or all of these grounds but all of these notices shall be filed within that period unless the agency in its discretion authorizes the filing of a later notice.

(c) The respondent shall be entitled to a hearing on the merits if the respondent files a notice of defense or notice of participation, and the notice shall be deemed a specific denial of all parts of the accusation or District Statement of Reduction in Force not expressly admitted. Failure to file a notice of defense or notice of participation shall constitute a waiver of respondent's right to a hearing, but the agency in its discretion may nevertheless grant a hearing. Unless objection is taken as provided in paragraph (3) of subdivision (a), all objections to the form of the accusation or District Statement of Reduction in Force shall be deemed waived.

(d) The notice of defense or notice of participation shall be in writing signed by or on behalf of the respondent and shall state the respondent's mailing address. It need not be verified or follow any particular form.

(e) As used in this section, "file," "files," "filed," or "filing" means "delivered or mailed" to the agency as provided in Section 11505.

**HISTORY:** Added Stats 1945 ch 867 § 1. Amended Stats 1963 ch 931 § 1; Stats 1982 ch 606 § 1; Stats 1986 ch 951 § 20; Stats 1995 ch 938 § 29 (SB 523), operative July 1, 1997; Stats 2013 ch 90 § 5 (SB 546), effective January 1, 2014.

### **§ 11507. Amended or supplemental accusation or District Statement of Reduction in Force; Objections**

At any time before the matter is submitted for decision, the agency may file, or permit the filing of, an amended or supplemental accusation or District Statement of Reduction in Force. All parties shall be notified of the filing. If the amended or supplemental accusation or District Statement of Reduction in Force presents new charges, the agency shall afford the respondent a reasonable opportunity to prepare his or her defense to the new charges, but he or she shall not be entitled to file a further pleading unless the agency in its discretion so orders. Any new charges shall be deemed controverted, and any objections to the amended or supplemental accusation or District Statement of Reduction in Force may be made orally and shall be noted in the record.

**HISTORY:** Added Stats 1945 ch 867 § 1. Amended Stats 2013 ch 90 § 6 (SB 546), effective January 1, 2014; Stats 2014 ch 71 § 69 (SB 1304), effective January 1, 2015.

#### **§ 11507.3. Consolidated proceedings; Separate hearings**

(a) When proceedings that involve a common question of law or fact are pending, the administrative law judge on the judge's own motion or on motion of a party may order a joint hearing of any or all the matters at issue in the proceedings. The administrative law judge may order all the proceedings consolidated and may make orders concerning the procedure that may tend to avoid unnecessary costs or delay.

(b) The administrative law judge on the judge's own motion or on motion of a party, in furtherance of convenience or to avoid prejudice or when separate hearings will be conducive to expedition and economy, may order a separate hearing of any issue, including an issue raised in the notice of defense or notice of participation, or of any number of issues.

**HISTORY:** Added Stats 1995 ch 938 § 30 (SB 523), operative July 1, 1997. Amended Stats 2013 ch 90 § 7 (SB 546), effective January 1, 2014.

///

### **§ 11507.5. Exclusivity of discovery provisions**

The provisions of Section 11507.6 provide the exclusive right to and method of discovery as to any proceeding governed by this chapter.

**HISTORY:** Added Stats 1968 ch 808 § 3.

### **§ 11507.6. Request for discovery**

After initiation of a proceeding in which a respondent or other party is entitled to a hearing on the merits, a party, upon written request made to another party, prior to the hearing and within 30 days after service by the agency of the initial pleading or within 15 days after the service of an additional pleading, is entitled to (1) obtain the names and addresses of witnesses to the extent known to the other party, including, but not limited to, those intended to be called to testify at the hearing, and (2) inspect and make a copy of any of the following in the possession or custody or under the control of the other party:

(a) A statement of a person, other than the respondent, named in the initial administrative pleading, or in any additional pleading, when it is claimed that the act or omission of the respondent as to this person is the basis for the administrative proceeding;

(b) A statement pertaining to the subject matter of the proceeding made by any party to another party or person;

(c) Statements of witnesses then proposed to be called by the party and of other persons having personal knowledge of the acts, omissions or events which are the basis for the proceeding, not included in (a) or (b) above;

(d) All writings, including, but not limited to, reports of mental, physical and blood examinations and things which the party then proposes to offer in evidence;

(e) Any other writing or thing which is relevant and which would be admissible in evidence;

(f) Investigative reports made by or on behalf of the agency or other party pertaining to the subject matter of the proceeding, to the extent that these reports (1) contain the names and addresses of witnesses or of persons having personal knowledge of the acts, omissions or events which are the basis for the proceeding, or (2) reflect matters perceived by the investigator in the course of his or her investigation, or (3) contain or include by attachment any statement or writing described in (a) to (e), inclusive, or summary thereof.

For the purpose of this section, "statements" include written statements by the person signed or otherwise authenticated by him or her, stenographic, mechanical, electrical or other recordings, or transcripts thereof, of oral statements by the person, and written reports or summaries of these oral statements.

Nothing in this section shall authorize the inspection or copying of any writing or thing which is privileged from disclosure by law or otherwise made confidential or protected as the attorney's work product.

**HISTORY:** Added Stats 1968 ch 808 § 4. Amended Stats 1985 ch 1328 § 5; Stats 1995 ch 938 § 31 (SB 523), operative July 1, 1997.

**§ 11507.7. Motion to compel discovery; Order**

(a) Any party claiming the party's request for discovery pursuant to Section 11507.6 has not been complied with may serve and file with the administrative law judge a motion to compel discovery, naming as respondent the party refusing or failing to comply with Section 11507.6. The motion shall state facts showing the respondent party failed or refused to comply with Section 11507.6, a description of the matters sought to be discovered, the reason or reasons why the matter is discoverable under that section, that a reasonable and good faith attempt to contact the respondent for an informal resolution of the issue has been made, and the ground or grounds of respondent's refusal so far as known to the moving party.

(b) The motion shall be served upon respondent party and filed within 15 days after the respondent party first evidenced failure or refusal to comply with Section 11507.6 or within 30 days after request was made and the party has failed to reply to the request, or within another time provided by stipulation, whichever period is longer.

(c) The hearing on the motion to compel discovery shall be held within 15 days after the motion is made, or a later time that the administrative law judge may on the judge's own motion for good cause determine. The respondent party shall have the right to serve and file a written answer or other response to the motion before or at the time of the hearing.

(d) Where the matter sought to be discovered is under the custody or control of the respondent party and the respondent party asserts that the matter is not a discoverable matter under the provisions of Section 11507.6, or is privileged against disclosure under those provisions, the administrative law judge may order lodged with it matters provided in subdivision (b) of *Section 915 of the Evidence Code* and examine the matters in accordance with its provisions.

(e) The administrative law judge shall decide the case on the matters examined in camera, the papers filed by the parties, and such oral argument and additional evidence as the administrative law judge may allow.

(f) Unless otherwise stipulated by the parties, the administrative law judge shall no later than 15 days after the hearing make its order denying or granting the motion. The order shall be in writing setting forth the matters the moving party is entitled to discover under Section 11507.6. A copy of the order shall forthwith be served by mail by the administrative law judge upon the parties. Where the order grants the motion in whole or in part, the order shall not become

effective until 10 days after the date the order is served. Where the order denies relief to the moving party, the order shall be effective on the date it is served.

**HISTORY:** Added Stats 1968 ch 808 § 5. Amended Stats 1971 ch 1303 § 8; Stats 1980 ch 548 § 2; Stats 1995 ch 938 § 32 (SB 523), operative July 1, 1997.

### **§ 11508. Time and place of hearing**

(a) The agency shall consult the office, and subject to the availability of its staff, shall determine the time and place of the hearing. The hearing shall be held at a hearing facility maintained by the office in Sacramento, Oakland, Los Angeles, or San Diego and shall be held at the facility that is closest to the location where the transaction occurred or the respondent resides.

(b) Notwithstanding subdivision (a), the hearing may be held at either of the following places:

(1) A place selected by the agency that is closer to the location where the transaction occurred or the respondent resides.

(2) A place within the state selected by agreement of the parties.

(c) The respondent may move for, and the administrative law judge has discretion to grant or deny, a change in the place of the hearing. A motion for a change in the place of the hearing shall be made within 10 days after service of the notice of hearing on the respondent.

Unless good cause is identified in writing by the administrative law judge, hearings shall be held in a facility maintained by the office.

**HISTORY:** Added Stats 1945 ch 867 § 1. Amended Stats 1963 ch 710 § 1; Stats 1967 ch 17 § 39; Stats 1987 ch 50 § 1; Stats 1995 ch 938 § 33 (SB 523), operative July 1, 1997; Stats 2005 ch 674 § 22 (SB 231), effective January 1, 2006.

**Exhibit A-9**

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DEFAULT DECISION AND ORDER FPPC NO. 16/724



**Lobbying Firm  
Registration Statement**  
(Government Code Section 86104)

**ORIGINAL**

**RECEIVED AND FILED**  
in the office of the Secretary of State  
of the State of California

**JAN 16 2015**

Legislative Session

2015-2016

(Insert Years)

**CALIFORNIA FORM 601**  
FAIR POLITICAL PRACTICES COMM.

For Official Use Only

RHS  
KIA  
#1374827

Type or Print in Ink

SEE INSTRUCTIONS ON REVERSE **Hand Delivered, Sacramento**

Page \_\_\_\_\_ of \_\_\_\_\_

NAME OF LOBBYING FIRM:

*BFO & Associates* *new*

If this is an initial registration, enter the DATE QUALIFIED as a Lobbying Firm:

BUSINESS ADDRESS: (Number and Street) (City) (State) (Zip Code)

770 L. STREET, SUITE 1030  
~~2771 SAN LUIS COSTA, SACRAMENTO, CA 95818~~

TELEPHONE NUMBER:

(916) 494-1665

FAX NUMBER: (Optional)

E-MAIL:

*BOBALDIA@PACBELL.NET*

**I Individual Lobbyists**

- List the full name of each partner, owner, officer, or employee of your lobbying firm who is a lobbyist. Attach a Form 604 for each lobbyist.
- Do not list any individual who is separately registered as a lobbying firm or who is employed by a lobbying firm with which you subcontract.
- If your firm does not have a partner, owner, officer, or employee who qualifies as a lobbyist, state "not applicable."

*BOBALDIA@PACBELL.NET*

<i>BERMAN</i>	<i>OBALDIA</i>

If more space is needed, check box and attach continuation sheets.

**II Lobbyist Employers**

- Use Section A to report each client with whom your firm has a direct contract to provide lobbying services.
- Use Section B to report lobbying firms with which your firm subcontracts to provide lobbying services and the clients on whose behalf your firm will lobby.
- Attach a Form 602 for each person identified in Section A or B.

**SECTION A**

Employer's Name, Address and Telephone Number	Effective Date	Period of Contract
Agencies to be Lobbied	Description of Employer's Lobbying Interests	
Employer's Name, Address and Telephone Number	Effective Date	Period of Contract
Agencies to be Lobbied	Description of Employer's Lobbying Interests	

If more space is needed, check box and attach continuation sheets.

**Lobbying Firm  
Registration Statement**

Type or Print in Ink

**CALIFORNIA FORM 601**  
FAIR POLITICAL PRACTICES COMM.  
Page \_\_\_\_\_ of \_\_\_\_\_

NAME OF LOBBYING FIRM:

**II Lobbyist Employers**

**SECTION A -- (Continued)**

Employer's Name, Address and Telephone Number	Effective Date	Period of Contract
Agencies to be Lobbied	Description of Employer's Lobbying Interests	
Employer's Name, Address and Telephone Number	Effective Date	Period of Contract
Agencies to be Lobbied	Description of Employer's Lobbying Interests	
Employer's Name, Address and Telephone Number	Effective Date	Period of Contract
Agencies to be Lobbied	Description of Employer's Lobbying Interests	
Employer's Name, Address and Telephone Number	Effective Date	Period of Contract
Agencies to be Lobbied	Description of Employer's Lobbying Interests	

If more space is needed, check box and attach continuation sheets.

**SECTION B -- Subcontracted Clients**

Name, Address and Telephone Number of Subcontracting Lobbying Firm:

*-K*

**SEA & ASSOCIATES**

Effective Date of Contract

Period of Contract

*11/01/2015 - 9/30/2015 / 9 months*

Name, Address and Telephone Number of Client on Whose Behalf Your Firm will Lobby:

**770 L. STREET, SUITE 1030**

Agencies to be Lobbied

**California Legislature, TRANSPORT**

Description of Client's Lobbying Interests

**RED FLEX TRAFFIC SYSTEMS**  
**23751 N. 23RD ST. PHOENIX, AZ 85085**  
**623-207-2401**  
**General Business TRANSPORTATION**

If more space is needed, check box and attach continuation sheets.

**Lobbying Firm  
Registration Statement**

Type or Print in Ink

<b>CALIFORNIA FORM 601</b> FAIR POLITICAL PRACTICES COMM.
Page _____ of _____

NAME OF LOBBYING FIRM: \_\_\_\_\_

**III Statement of Responsible Officer**

I am a partner, owner, or officer of the lobbying firm of BFO & ASSOCIATES

I am the person responsible for filing statements and reports and keeping records required by Chapter 6 of the Political Reform Act (Government Code Sections 81000-91015). I have read and understand the prohibitions contained in Sections 86203 and 86205.

**86203.** It shall be unlawful for a lobbyist or a lobbying firm to make gifts to one person aggregating more than ten dollars (\$10) in a calendar month, or to act as an agent or intermediary in the making of any gift, or to arrange for the making of any gift by any other person.

“Gift” as used in Section 86203 means a gift made directly or indirectly to any state candidate, elected state officer, or legislative official, or to an agency official of any agency required to be listed on the Registration Statement of the lobbying firm or the lobbyist employer of the lobbyist.

**86205.** No lobbyist or lobbying firm shall:

(a) Do anything with the purpose of placing any elected state officer, legislative official, agency official, or state candidate under personal obligation to the lobbyist, the lobbying firm, or the lobbyist’s or the firm’s employer.

(b) Deceive or attempt to deceive any elected state officer, legislative official, agency official, or state candidate with regard to any material fact pertinent to any pending or proposed legislative or administrative action.

(c) Cause or influence the introduction of any bill or amendment thereto for the purpose of thereafter being employed to secure its passage or defeat.

(d) Attempt to create a fictitious appearance of public favor or disfavor of any proposed legislative or administrative action or to cause any communication to be sent to any elected state officer, legislative official, agency official, or state candidate in the name of any fictitious person or in the name of any real person, except with the consent of such real person.

(e) Represent falsely, either directly or indirectly, that the lobbyist or the lobbying firm can control the official action of any elected state officer, legislative official, or agency official.

(f) Accept or agree to accept any payment in any way contingent upon the defeat, enactment, or outcome of any proposed legislative or administrative action.

**VERIFICATION**

I have used all reasonable diligence in preparing this Statement. I have reviewed this Statement and to the best of my knowledge the information contained herein is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed On 1/16/2015

By Berublan

Berublan  
TYPE OR PRINT

SIGNATURE OF RESPONSIBLE OFFICER

Name of Responsible Officer

Title

Principal

#1374829

**Exhibit A-10**

---

DEFAULT DECISION AND ORDER FPPC NO. 16/724

ORIGINAL

Lobbyist Certification Statement (Government Code Section 86103)

RECEIVED AND FILED in the office of the Secretary of State of the State of California

JAN 16 2015

Legislative Session 2015-2016 (Insert Years) #1374828

CALIFORNIA FORM 604 FAIR POLITICAL PRACTICES COMM. For Official Use Only rec'd photo #1000 ck#106 Receipt #198373

Type or Print in Ink

Check Box if an Amendment Hand Delivered, Sacramento

NAME OF LOBBYIST: (Last) (First) (M.I.) OBALDIA, BERMAN
BUSINESS ADDRESS: (Number and Street) (City) (State) (Zip Code) 2770 L. STREET, SUITE 1030
MAILING ADDRESS: (If different than above) SACRAMENTO, CA 95814
NAME OF LOBBYIST EMPLOYER OR LOBBYING FIRM: BOBALDIA@

If this is an Initial Certification, enter the DATE QUALIFIED as a Lobbyist:
TELEPHONE NUMBER: (916) 494-1665
FAX NUMBER: (Optional)
E-MAIL: BOBALDIA@

I. LOBBYIST ETHICS ORIENTATION COURSE

Check one box:

- I have not taken the course within the previous 12 months. I will attend the course (check one):
New Certification - Within the next 12 months
Renewal - By June 30 of the next calendar year

I completed the course on (Mo./Day/Year)

PARBELL.NET

II. AGENCIES LOBBIED

Check one box:

- I will lobby the agencies identified on the Lobbyist Employer or Lobbying Firm Registration Statement (Form 601/603) and subsequent amendments.
I will only lobby the agencies identified below:

Will you lobby the State Legislature? State Agencies:
Yes No

III. LOBBYIST RESTRICTIONS

By signing the verification below, I certify that I have read and understand that I am subject to the prohibitions contained in Government Code Sections 86203 and 86205. (Provided on reverse.)

VERIFICATION

I have used all reasonable diligence in preparing this Statement. I have reviewed this Statement and to the best of my knowledge the information contained herein is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on 1/16/2015 DATE By [Signature] SIGNATURE OF LOBBYIST

**Exhibit A-11**

---

DEFAULT DECISION AND ORDER FPPC NO. 16/724

**REPORT OF LOBBYING FIRM**  
(Government Code Section 86114)

**FORM 625**  
1990

REPORT COVERS PERIOD FROM 01/01/2015 THROUGH 03/31/2015

CUMULATIVE PERIOD BEGINNING 01/01/2015

FOR OFFICIAL USE ONLY

TYPE OR PRINT IN INK

For information required to be provided to you pursuant to the Information Practices Act of 1977, see Information Manual on Lobbying Disclosure Provisions of the Political Reform Act.

NAME OF LOBBYING FIRM:

JEA & ASSOCIATES

BUSINESS ADDRESS: (Number and Street)  
770 L STREET, SUITE 1030

(City)  
SACRAMEN -  
TO

(State)  
CA

(Zip Code)  
95814

TELEPHONE NUMBER:  
9166691340

MAILING ADDRESS: (If different than above)

**PART I** - (Read the instructions on the reverse before completing this section. Then, check one of the boxes below and complete Part I.)

- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHOSE "LOBBYIST REPORTS" (FORM 615) ARE ATTACHED TO THIS REPORT OR
- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHO ENGAGED IN DIRECT COMMUNICATION ON AT LEAST FIVE SEPARATE OCCASIONS DURING THE PERIOD

Owner

John E. Arriaga

Employee

Laurie Johnson

Employee

Erica Arriaga

If more space is needed, check box and attach continuation sheets.

**SUMMARY OF PAYMENTS THIS PERIOD**

A. GRAND TOTAL PAYMENTS RECEIVED: \$ 156125.00  
(From Subtotals in Part II)

B. TOTAL ACTIVITY EXPENSES: \$ 0.00  
(From Part III, Section A, 3)

C. TOTAL PAYMENTS TO OTHER LOBBYING FIRMS: \$ 10800.00  
(From Part III, Section B)

D. GRAND TOTAL PAYMENTS MADE: \$ 10800.00  
(B + C, above)

E. CAMPAIGN CONTRIBUTIONS MADE:

None This Period  Part IV Completed and Attached

F. IS THE FIRM A MEMBER OF A LOBBYING COALITION ?

No  Yes (Complete and attach Form 630)

**VERIFICATION**

I have used all reasonable diligence in preparing this Report. I have reviewed the Report and to the best of my knowledge the information contained herein and in the attached schedules is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on (Date) 04/29/2015	At (City and State) Sacramento	By (Signature of Responsible Officer) John E. Arriaga
Name of Responsible Officer (Type or Print) John E. Arriaga		Title President

PERIOD COVERED: 01/01/2015 03/31/2015

NAME OF LOBBYING FIRM: JEA & ASSOCIATES

<b>PART III - PAYMENTS MADE</b> (Continued)																			
SECTION B: PAYMENTS MADE TO OTHER LOBBYING FIRMS																			
Name, Address and Telephone Number of Firm Contracted With	Name of Employer or Client for Whom Subcontractor was Retained to Lobby	Amount This Period	Cumulative Total to Date																
BFO & Associates 2771 San Luis Ct  Sacramento CA 95818	REFLEX	\$ 10800.00	\$ 10800.00																
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets.		<b>TOTAL PAYMENTS</b> (Include all subtotals from continuation sheets)	\$ 10800.00																
<p><b>PART IV - CAMPAIGN CONTRIBUTIONS MADE</b> (Monetary and non-monetary campaign contributions of \$100 or more made to or on behalf of <u>state</u> candidates, elected state officers and any of their controlled committees, or committees supporting such candidates or officers must be reported in A or B below.)</p> <p>A. If the contributions made by you during the period covered by this report, or by a committee you sponsor, are contained in a campaign disclosure statement which is on file with the Secretary of State, report the name of the committee and its identification number, if any, below.</p> <p>Name of Major Donor or Recipient Committee Which Has Filed A Campaign Disclosure Statement: _____ Identification Number if Recipient Committee: _____</p> <p>B. Contributions of \$100 or more which have not been reported on a campaign disclosure statement, including contributions made by an organization's sponsored committee, must be itemized below.</p> <table border="1" style="width:100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 10%; padding: 5px;">Date</th> <th style="width: 50%; padding: 5px;">Name of Recipient</th> <th style="width: 20%; padding: 5px;">I.D. Number if Committee</th> <th style="width: 20%; padding: 5px;">Amount</th> </tr> </thead> <tbody> <tr> <td style="height: 20px;"></td> <td></td> <td></td> <td style="text-align: center;">\$</td> </tr> <tr> <td style="height: 20px;"></td> <td></td> <td></td> <td></td> </tr> <tr> <td style="height: 20px;"></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>				Date	Name of Recipient	I.D. Number if Committee	Amount				\$								
Date	Name of Recipient	I.D. Number if Committee	Amount																
			\$																
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets.																			
<p><b>NOTE: Disclosure in this report does not relieve a filer of any obligation to file the campaign disclosure statements required by Gov. Code Section 84200, et seq.</b></p>																			



**REPORT OF LOBBYING FIRM**  
(Government Code Section 86114)

**FORM 625**  
1990

REPORT COVERS PERIOD FROM 04/01/2015 THROUGH 06/30/2015

CUMULATIVE PERIOD BEGINNING 01/01/2015

FOR OFFICIAL USE ONLY

TYPE OR PRINT IN INK

For information required to be provided to you pursuant to the Information Practices Act of 1977, see Information Manual on Lobbying Disclosure Provisions of the Political Reform Act.

NAME OF LOBBYING FIRM:

JEA & ASSOCIATES

BUSINESS ADDRESS: (Number and Street)  
770 L STREET, SUITE 1030

(City) (State) (Zip Code)  
SACRAMEN - CA 95814  
TO

TELEPHONE NUMBER:  
9166691340

MAILING ADDRESS: (If different than above)

**PART I -** (Read the instructions on the reverse before completing this section. Then, check one of the boxes below and complete Part I.)

- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHOSE "LOBBYIST REPORTS" (FORM 615) ARE ATTACHED TO THIS REPORT OR
- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHO ENGAGED IN DIRECT COMMUNICATION ON AT LEAST FIVE SEPARATE OCCASIONS DURING THE PERIOD

Owner

John E. Arriaga

Employee

Laurie Johnson

Employee

Erica Arriaga

If more space is needed, check box and attach continuation sheets.

**SUMMARY OF PAYMENTS THIS PERIOD**

A. GRAND TOTAL PAYMENTS RECEIVED: \$ 120625.00  
(From Subtotals in Part II)

B. TOTAL ACTIVITY EXPENSES: \$ 0.00  
(From Part III, Section A, 3)

C. TOTAL PAYMENTS TO OTHER LOBBYING FIRMS: \$ 10800.00  
(From Part III, Section B)

D. GRAND TOTAL PAYMENTS MADE: \$ 10800.00  
(B + C, above)

E. CAMPAIGN CONTRIBUTIONS MADE:

None This Period  Part IV Completed and Attached

F. IS THE FIRM A MEMBER OF A LOBBYING COALITION ?

No  Yes (Complete and attach Form 630)

**VERIFICATION**

I have used all reasonable diligence in preparing this Report. I have reviewed the Report and to the best of my knowledge the information contained herein and in the attached schedules is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on (Date) 07/29/2015	At (City and State) Sacramento	By (Signature of Responsible Officer) John E. Arriaga
Name of Responsible Officer (Type or Print) John E. Arriaga		Title President

PERIOD COVERED: 04/01/2015 06/30/2015

NAME OF LOBBYING FIRM: JEA & ASSOCIATES

<b>PART III - PAYMENTS MADE</b> (Continued)			
<b>SECTION B: PAYMENTS MADE TO OTHER LOBBYING FIRMS</b>			
Name, Address and Telephone Number of Firm Contracted With	Name of Employer or Client for Whom Subcontractor was Retained to Lobby	Amount This Period	Cumulative Total to Date
BFO & Associates 2771 San Luis Ct Sacramento CA 95818	REFLEX	\$ 10800.00	\$ 21600.00
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets.		<b>TOTAL PAYMENTS</b> (Include all subtotals from continuation sheets)	\$ 10800.00

**PART IV - CAMPAIGN CONTRIBUTIONS MADE** (Monetary and non-monetary campaign contributions of \$100 or more made to or on behalf of state candidates, elected state officers and any of their controlled committees, or committees supporting such candidates or officers must be reported in A or B below.)

A. If the contributions made by you during the period covered by this report, or by a committee you sponsor, are contained in a campaign disclosure statement which is on file with the Secretary of State, report the name of the committee and its identification number, if any, below.

Name of Major Donor or Recipient Committee Which Has Filed A Campaign Disclosure Statement: \_\_\_\_\_ Identification Number if Recipient Committee: \_\_\_\_\_

B. Contributions of \$100 or more which have not been reported on a campaign disclosure statement, including contributions made by an organization's sponsored committee, must be itemized below.

Date	Name of Recipient	I.D. Number if Committee	Amount
			\$

If more space is needed, check box and attach continuation sheets.

**NOTE: Disclosure in this report does not relieve a filer of any obligation to file the campaign disclosure statements required by Gov. Code Section 84200, et seq.**

**REPORT OF LOBBYING FIRM**  
(Government Code Section 86114)

**FORM 625**  
1990

REPORT COVERS PERIOD FROM 07/01/2015 THROUGH 09/30/2015

CUMULATIVE PERIOD BEGINNING 01/01/2015

FOR OFFICIAL USE ONLY

TYPE OR PRINT IN INK

For information required to be provided to you pursuant to the Information Practices Act of 1977, see Information Manual on Lobbying Disclosure Provisions of the Political Reform Act.

A

B

NAME OF LOBBYING FIRM:

JEA & ASSOCIATES

BUSINESS ADDRESS: (Number and Street)  
770 L STREET, SUITE 1030

(City) (State) (Zip Code)  
SACRAMEN - CA 95814  
TO

TELEPHONE NUMBER:  
9166691340

MAILING ADDRESS: (If different than above)

**PART I** - (Read the instructions on the reverse before completing this section. Then, check one of the boxes below and complete Part I.)

- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHOSE "LOBBYIST REPORTS" (FORM 615) ARE ATTACHED TO THIS REPORT OR
- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHO ENGAGED IN DIRECT COMMUNICATION ON AT LEAST FIVE SEPARATE OCCASIONS DURING THE PERIOD

Owner

John E. Arriaga

Employee

Laurie Johnson

Employee

Erica Arriaga

If more space is needed, check box and attach continuation sheets.

**SUMMARY OF PAYMENTS THIS PERIOD**

A. GRAND TOTAL PAYMENTS RECEIVED: \$ 98625.00  
(From Subtotals in Part II)

B. TOTAL ACTIVITY EXPENSES: \$ 0.00  
(From Part III, Section A, 3)

C. TOTAL PAYMENTS TO OTHER LOBBYING FIRMS: \$ 7200.00  
(From Part III, Section B)

D. GRAND TOTAL PAYMENTS MADE: \$ 7200.00  
(B + C, above)

E. CAMPAIGN CONTRIBUTIONS MADE:

None This Period  Part IV Completed and Attached

F. IS THE FIRM A MEMBER OF A LOBBYING COALITION ?

No  Yes (Complete and attach Form 630)

**VERIFICATION**

I have used all reasonable diligence in preparing this Report. I have reviewed the Report and to the best of my knowledge the information contained herein and in the attached schedules is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on (Date) 10/28/2015	At (City and State) Sacramento	By (Signature of Responsible Officer) John Arriaga
Name of Responsible Officer (Type or Print) John Arriaga		Title President

PERIOD COVERED: 07/01/2015 09/30/2015

NAME OF LOBBYING FIRM: JEA & ASSOCIATES

<b>PART III - PAYMENTS MADE</b> (Continued)																			
SECTION B: PAYMENTS MADE TO OTHER LOBBYING FIRMS																			
Name, Address and Telephone Number of Firm Contracted With	Name of Employer or Client for Whom Subcontractor was Retained to Lobby	Amount This Period	Cumulative Total to Date																
BFO & Associates 2771 San Luis Ct  Sacramento CA 95818	REDFLEX	\$ 7200.00	\$ 28800.00																
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets.		<b>TOTAL PAYMENTS</b> (Include all subtotals from continuation sheets)	\$ 7200.00																
<p><b>PART IV - CAMPAIGN CONTRIBUTIONS MADE</b> (Monetary and non-monetary campaign contributions of \$100 or more made to or on behalf of <u>state</u> candidates, elected state officers and any of their controlled committees, or committees supporting such candidates or officers must be reported in A or B below.)</p> <p>A. If the contributions made by you during the period covered by this report, or by a committee you sponsor, are contained in a campaign disclosure statement which is on file with the Secretary of State, report the name of the committee and its identification number, if any, below.</p> <p>Name of Major Donor or Recipient Committee Which Has Filed A Campaign Disclosure Statement: _____ Identification Number if Recipient Committee: _____</p> <p>B. Contributions of \$100 or more which have not been reported on a campaign disclosure statement, including contributions made by an organization's sponsored committee, must be itemized below.</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 10%; padding: 5px;">Date</th> <th style="width: 50%; padding: 5px;">Name of Recipient</th> <th style="width: 20%; padding: 5px;">I.D. Number if Committee</th> <th style="width: 20%; padding: 5px;">Amount</th> </tr> </thead> <tbody> <tr> <td style="height: 20px;"></td> <td></td> <td></td> <td style="text-align: center;">\$</td> </tr> <tr> <td style="height: 20px;"></td> <td></td> <td></td> <td></td> </tr> <tr> <td style="height: 20px;"></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>				Date	Name of Recipient	I.D. Number if Committee	Amount				\$								
Date	Name of Recipient	I.D. Number if Committee	Amount																
			\$																
<p><input type="checkbox"/> If more space is needed, check box and attach continuation sheets.</p> <p><b>NOTE: Disclosure in this report does not relieve a filer of any obligation to file the campaign disclosure statements required by Gov. Code Section 84200, et seq.</b></p>																			

**REPORT OF LOBBYING FIRM**  
(Government Code Section 86114)

**FORM 625**  
1990

REPORT COVERS PERIOD FROM 10/01/2015 THROUGH 12/31/2015  
CUMULATIVE PERIOD BEGINNING 01/01/2015

FOR OFFICIAL USE ONLY

TYPE OR PRINT IN INK

For information required to be provided to you pursuant to the Information Practices Act of 1977, see Information Manual on Lobbying Disclosure Provisions of the Political Reform Act.

A

B

NAME OF LOBBYING FIRM:

JEA & ASSOCIATES

BUSINESS ADDRESS: (Number and Street)  
770 L STREET, SUITE 1030

(City) (State) (Zip Code)  
SACRAMEN - CA 95814  
TO

TELEPHONE NUMBER:  
9166691340

MAILING ADDRESS: (If different than above)

**PART I** - (Read the instructions on the reverse before completing this section. Then, check one of the boxes below and complete Part I.)

- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHOSE "LOBBYIST REPORTS" (FORM 615) ARE ATTACHED TO THIS REPORT OR  
 PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHO ENGAGED IN DIRECT COMMUNICATION ON AT LEAST FIVE SEPARATE OCCASIONS DURING THE PERIOD

Owner

John E. Arriaga

Employee

Laurie Johnson

Employee

Erica Arriaga

If more space is needed, check box and attach continuation sheets.

**SUMMARY OF PAYMENTS THIS PERIOD**

A. GRAND TOTAL PAYMENTS RECEIVED: \$ 136107.52  
(From Subtotals in Part II)

B. TOTAL ACTIVITY EXPENSES: \$ 0.00  
(From Part III, Section A, 3)

C. TOTAL PAYMENTS TO OTHER LOBBYING FIRMS: \$ 31800.00  
(From Part III, Section B)

D. GRAND TOTAL PAYMENTS MADE: \$ 31800.00  
(B + C, above)

E. CAMPAIGN CONTRIBUTIONS MADE:

None This Period  Part IV Completed and Attached

F. IS THE FIRM A MEMBER OF A LOBBYING COALITION ?

No  Yes (Complete and attach Form 630)

**VERIFICATION**

I have used all reasonable diligence in preparing this Report. I have reviewed the Report and to the best of my knowledge the information contained herein and in the attached schedules is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on (Date) 01/28/2016	At (City and State) Sacramento	By (Signature of Responsible Officer) John Arriaga
Name of Responsible Officer (Type or Print) John Arriaga		Title President

PERIOD COVERED: 10/01/2015 12/31/2015

NAME OF LOBBYING FIRM: JEA & ASSOCIATES

**PART III - PAYMENTS MADE** (Continued)

**SECTION B: PAYMENTS MADE TO OTHER LOBBYING FIRMS**

Name, Address and Telephone Number of Firm Contracted With	Name of Employer or Client for Whom Subcontractor was Retained to Lobby	Amount This Period	Cumulative Total to Date
BFO & Associates 2771 San Luis Ct Sacramento CA 95818	REDFLEX	\$ 10800.00	\$ 39600.00
Nossaman LLP 621 Capitol Mall, 25th Floor Sacramento CA 95814	Monterey, County of	21000.00	21000.00

<input type="checkbox"/> If more space is needed, check box and attach continuation sheets.	<b>TOTAL PAYMENTS</b> (Include all subtotals from continuation sheets)	<b>\$ 31800.00</b>	
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**PART IV - CAMPAIGN CONTRIBUTIONS MADE** (Monetary and non-monetary campaign contributions of \$100 or more made to or on behalf of ~~state~~ candidates, elected state officers and any of their controlled committees, or committees supporting such candidates or officers must be reported in A or B below.)

A. If the contributions made by you during the period covered by this report, or by a committee you sponsor, are contained in a campaign disclosure statement which is on file with the Secretary of State, report the name of the committee and its identification number, if any, below.

Name of Major Donor or Recipient Committee Which Has Filed A Campaign Disclosure Statement: \_\_\_\_\_ Identification Number if Recipient Committee: \_\_\_\_\_

B. Contributions of \$100 or more which have not been reported on a campaign disclosure statement, including contributions made by an organization's sponsored committee, must be itemized below.

Date	Name of Recipient	I.D. Number if Committee	Amount
			\$

If more space is needed, check box and attach continuation sheets.

**NOTE: Disclosure in this report does not relieve a filer of any obligation to file the campaign disclosure statements required by Gov. Code Section 84200, et seq.**

**REPORT OF LOBBYING FIRM**  
(Government Code Section 86114)

**FORM 625**  
1990

REPORT COVERS PERIOD FROM 01/01/2016 THROUGH 03/31/2016

CUMULATIVE PERIOD BEGINNING 01/01/2015

FOR OFFICIAL USE ONLY

TYPE OR PRINT IN INK

For information required to be provided to you pursuant to the Information Practices Act of 1977, see Information Manual on Lobbying Disclosure Provisions of the Political Reform Act.

NAME OF LOBBYING FIRM:

JEA & ASSOCIATES

BUSINESS ADDRESS: (Number and Street)  
770 L STREET, SUITE 1030

(City)  
SACRAMEN -  
TO

(State)  
CA

(Zip Code)  
95814

TELEPHONE NUMBER:  
9166691340

MAILING ADDRESS: (If different than above)

**PART I** - (Read the instructions on the reverse before completing this section. Then, check one of the boxes below and complete Part I.)

- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHOSE "LOBBYIST REPORTS" (FORM 615) ARE ATTACHED TO THIS REPORT OR
- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHO ENGAGED IN DIRECT COMMUNICATION ON AT LEAST FIVE SEPARATE OCCASIONS DURING THE PERIOD

Owner

John E. Arriaga

Employee

Laurie Johnson

Employee

Erica Arriaga

If more space is needed, check box and attach continuation sheets.

**SUMMARY OF PAYMENTS THIS PERIOD**

A. GRAND TOTAL PAYMENTS RECEIVED: \$ 131249.99  
(From Subtotals in Part II)

B. TOTAL ACTIVITY EXPENSES: \$ 0.00  
(From Part III, Section A, 3)

C. TOTAL PAYMENTS TO OTHER LOBBYING FIRMS: \$ 28200.00  
(From Part III, Section B)

D. GRAND TOTAL PAYMENTS MADE: \$ 28200.00  
(B + C, above)

E. CAMPAIGN CONTRIBUTIONS MADE:

- None This Period  Part IV Completed and Attached

F. IS THE FIRM A MEMBER OF A LOBBYING COALITION ?

- No  Yes (Complete and attach Form 630)

**VERIFICATION**

I have used all reasonable diligence in preparing this Report. I have reviewed the Report and to the best of my knowledge the information contained herein and in the attached schedules is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on (Date) 04/28/2016	At (City and State) Sacramento	By (Signature of Responsible Officer) John Arriaga
Name of Responsible Officer (Type or Print) John Arriaga		Title President

PERIOD COVERED: 01/01/2016 03/31/2016

NAME OF LOBBYING FIRM: JEA & ASSOCIATES

<b>PART III - PAYMENTS MADE</b> (Continued)																			
<b>SECTION B: PAYMENTS MADE TO OTHER LOBBYING FIRMS</b>																			
Name, Address and Telephone Number of Firm Contracted With	Name of Employer or Client for Whom Subcontractor was Retained to Lobby	Amount This Period	Cumulative Total to Date																
BFO & Associates 2771 San Luis Ct  Sacramento CA 95818	REFLEX	\$ 7200.00	\$ 46800.00																
Nossaman LLP 621 Capitol Mall, 25th Floor  Sacramento CA 95814	Monterey, County of	21000.00	42000.00																
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets.		<b>TOTAL PAYMENTS</b> (Include all subtotals from continuation sheets)	<b>\$ 28200.00</b>																
<b>PART IV - CAMPAIGN CONTRIBUTIONS MADE</b> (Monetary and non-monetary campaign contributions of \$100 or more made to or on behalf of <u>state</u> candidates, elected state officers and any of their controlled committees, or committees supporting such candidates or officers must be reported in A or B below.)																			
<p>A. If the contributions made by you during the period covered by this report, or by a committee you sponsor, are contained in a campaign disclosure statement which is on file with the Secretary of State, report the name of the committee and its identification number, if any, below.</p> <p>Name of Major Donor or Recipient Committee Which Has Filed A Campaign Disclosure Statement: _____ Identification Number if Recipient Committee: _____</p> <p>_____</p>																			
<p>B. Contributions of \$100 or more which have not been reported on a campaign disclosure statement, including contributions made by an organization's sponsored committee, must be itemized below.</p> <table border="1" style="width:100%; border-collapse: collapse; margin-top: 5px;"> <thead> <tr> <th style="width: 10%; padding: 5px;">Date</th> <th style="width: 50%; padding: 5px;">Name of Recipient</th> <th style="width: 20%; padding: 5px;">I.D. Number if Committee</th> <th style="width: 20%; padding: 5px;">Amount</th> </tr> </thead> <tbody> <tr> <td style="height: 20px;"></td> <td></td> <td></td> <td style="text-align: center;">\$</td> </tr> <tr> <td style="height: 20px;"></td> <td></td> <td></td> <td></td> </tr> <tr> <td style="height: 20px;"></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>				Date	Name of Recipient	I.D. Number if Committee	Amount				\$								
Date	Name of Recipient	I.D. Number if Committee	Amount																
			\$																
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets.																			
<p><b>NOTE: Disclosure in this report does not relieve a filer of any obligation to file the campaign disclosure statements required by Gov. Code Section 84200, et seq.</b></p>																			



**Exhibit A-12**

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DEFAULT DECISION AND ORDER FPPC NO. 16/724

**REPORT OF LOBBYING FIRM**  
(Government Code Section 86114)

**FORM 625**  
1990

REPORT COVERS PERIOD FROM 01/15/2015 THROUGH 03/31/2015

CUMULATIVE PERIOD BEGINNING \_\_\_\_\_

FOR OFFICIAL USE ONLY

TYPE OR PRINT IN INK

For information required to be provided to you pursuant to the Information Practices Act of 1977, see Information Manual on Lobbying Disclosure Provisions of the Political Reform Act.

A
B

NAME OF LOBBYING FIRM:

**BFO & ASSOCIATES**

BUSINESS ADDRESS: (Number and Street) 770 L STREET, SUITE 1030	(City) SACRAMEN - TO	(State) CA	(Zip Code) 95814	TELEPHONE NUMBER: 9164941665
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MAILING ADDRESS: (If different than above)

**PART I** - (Read the instructions on the reverse before completing this section. Then, check one of the boxes below and complete Part I.)

PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHOSE "LOBBYIST REPORTS" (FORM 615) ARE ATTACHED TO THIS REPORT OR

PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHO ENGAGED IN DIRECT COMMUNICATION ON AT LEAST FIVE SEPARATE OCCASIONS DURING THE PERIOD

If more space is needed, check box and attach continuation sheets.

**SUMMARY OF PAYMENTS THIS PERIOD**

A. GRAND TOTAL PAYMENTS RECEIVED: \$ <u>0.00</u> (From Subtotals in Part II)	E. CAMPAIGN CONTRIBUTIONS MADE: <input type="checkbox"/> None This Period <input type="checkbox"/> Part IV Completed and Attached
B. TOTAL ACTIVITY EXPENSES: \$ <u>0.00</u> (From Part III, Section A, 3)	F. IS THE FIRM A MEMBER OF A LOBBYING COALITION ? <input type="checkbox"/> No <input type="checkbox"/> Yes (Complete and attach Form 630)
C. TOTAL PAYMENTS TO OTHER LOBBYING FIRMS: \$ <u>0.00</u> (From Part III, Section B)	
D. GRAND TOTAL PAYMENTS MADE: \$ <u>0.00</u> (B + C, above)	

**VERIFICATION**

I have used all reasonable diligence in preparing this Report. I have reviewed the Report and to the best of my knowledge the information contained herein and in the attached schedules is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on (Date) 02/09/2018	At (City and State) Sacramento	By (Signature of Responsible Officer) berman Obaldia
Name of Responsible Officer (Type or Print) berman Obaldia		Title Principal

PERIOD COVERED: 01/15/2015 03/31/2015

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

<b>PART II - PAYMENTS RECEIVED IN CONNECTION WITH LOBBYING ACTIVITY</b> (Amounts may be rounded off to whole dollars. See Instructions on reverse.)				
Employer's Name, Address and Telephone Number JEA 7 Associates 700 L street Sacramento CA 95818				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 10800.00
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
<b>SUBTOTAL</b>			\$ 0.00	

If more space is needed, check box and attach continuation sheets

PERIOD COVERED: 01/15/2015 03/31/2015

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

<b>PART III - PAYMENTS MADE IN CONNECTION WITH LOBBYING ACTIVITIES</b>					
SECTION A: ACTIVITY EXPENSES (See instructions on reverse.)					
1. ACTIVITY EXPENSES ARRANGED, INCURRED, OR PAID BY THE LOBBYING FIRM (OTHER THAN THOSE PAID OR INCURRED BY A LOBBYIST)					
Date	Name and Address of Payee	Name and Official Position of Reportable Persons and Amount Benefiting Each	Description of Consideration	Total Amount of Activity	
		\$			\$
	Reference No:				
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets				<b>TOTAL SECTION A.1.</b>	
				(Include all subtotals from Continuation Sheets) \$ 0.00	
<b>2. TOTAL ACTIVITY EXPENSES PAID, INCURRED, OR ARRANGED BY ALL LOBBYISTS EMPLOYED BY THE LOBBYING FIRM WHICH HAVE BEEN OR WILL BE REIMBURSED OR PAID BY THE FIRM.</b>					\$ 0.00
<b>3. TOTAL ACTIVITY EXPENSES (Section A, Parts 1 + 2)</b>					\$ 0.00

PERIOD COVERED: 01/15/2015 03/31/2015

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

<b>PART III - PAYMENTS MADE</b> (Continued)			
SECTION B: PAYMENTS MADE TO OTHER LOBBYING FIRMS			
Name, Address and Telephone Number of Firm Contracted With	Name of Employer or Client for Whom Subcontractor was Retained to Lobby	Amount This Period	Cumulative Total to Date
		\$	\$
		<b>TOTAL PAYMENTS</b> (Include all subtotals from continuation sheets)	\$ 0.00

If more space is needed, check box and attach continuation sheets.

**PART IV - CAMPAIGN CONTRIBUTIONS MADE** (Monetary and non-monetary campaign contributions of \$100 or more made to or on behalf of state candidates, elected state officers and any of their controlled committees, or committees supporting such candidates or officers must be reported in A or B below.)

A. If the contributions made by you during the period covered by this report, or by a committee you sponsor, are contained in a campaign disclosure statement which is on file with the Secretary of State, report the name of the committee and its identification number, if any, below.

Name of Major Donor or Recipient Committee Which Has Filed A Campaign Disclosure Statement: \_\_\_\_\_ Identification Number if Recipient Committee: \_\_\_\_\_

B. Contributions of \$100 or more which have not been reported on a campaign disclosure statement, including contributions made by an organization's sponsored committee, must be itemized below.

Date	Name of Recipient	I.D. Number if Committee	Amount
			\$

If more space is needed, check box and attach continuation sheets.

**NOTE: Disclosure in this report does not relieve a filer of any obligation to file the campaign disclosure statements required by Gov. Code Section 84200, et seq.**

**REPORT OF LOBBYING FIRM**  
(Government Code Section 86114)

**FORM 625**  
1990

REPORT COVERS PERIOD FROM 04/01/2015 THROUGH 06/30/2015

CUMULATIVE PERIOD BEGINNING \_\_\_\_\_ TO \_\_\_\_\_

FOR OFFICIAL USE ONLY

TYPE OR PRINT IN INK

For information required to be provided to you pursuant to the Information Practices Act of 1977, see Information Manual on Lobbying Disclosure Provisions of the Political Reform Act.

A

B

NAME OF LOBBYING FIRM:

**BFO & ASSOCIATES**

BUSINESS ADDRESS: (Number and Street)  
770 L STREET, SUITE 1030

(City)  
SACRAMEN -  
TO

(State)  
CA

(Zip Code)  
95814

TELEPHONE NUMBER:  
9164941665

MAILING ADDRESS: (If different than above)

**PART I** - (Read the instructions on the reverse before completing this section. Then, check one of the boxes below and complete Part I.)

- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHOSE "LOBBYIST REPORTS" (FORM 615) ARE ATTACHED TO THIS REPORT OR
- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHO ENGAGED IN DIRECT COMMUNICATION ON AT LEAST FIVE SEPARATE OCCASIONS DURING THE PERIOD

If more space is needed, check box and attach continuation sheets.

**SUMMARY OF PAYMENTS THIS PERIOD**

A. GRAND TOTAL PAYMENTS RECEIVED: \$ 0.00  
(From Subtotals in Part II)

B. TOTAL ACTIVITY EXPENSES: \$ 0.00  
(From Part III, Section A, 3)

C. TOTAL PAYMENTS TO OTHER LOBBYING FIRMS: \$ 0.00  
(From Part III, Section B)

D. GRAND TOTAL PAYMENTS MADE: \$ 0.00  
(B + C, above)

E. CAMPAIGN CONTRIBUTIONS MADE:

- None This Period  Part IV Completed and Attached

F. IS THE FIRM A MEMBER OF A LOBBYING COALITION ?

- No  Yes (Complete and attach Form 630)

**VERIFICATION**

I have used all reasonable diligence in preparing this Report. I have reviewed the Report and to the best of my knowledge the information contained herein and in the attached schedules is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on (Date) 02/09/2018	At (City and State) sacramento	By (Signature of Responsible Officer) Berman obaldia
Name of Responsible Officer (Type or Print) Berman obaldia		Title principal

PERIOD COVERED: 04/01/2015 06/30/2015

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

<b>PART II - PAYMENTS RECEIVED IN CONNECTION WITH LOBBYING ACTIVITY</b> (Amounts may be rounded off to whole dollars. See Instructions on reverse.)				
Employer's Name, Address and Telephone Number JEA 7 Associates 700 L street Sacramento CA 95818				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 10800.00
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
			<b>SUBTOTAL</b>	\$ 0.00

If more space is needed, check box and attach continuation sheets

PERIOD COVERED: 04/01/2015 06/30/2015

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

PART III - PAYMENTS MADE IN CONNECTION WITH LOBBYING ACTIVITIES					
SECTION A: ACTIVITY EXPENSES (See instructions on reverse.)					
1. ACTIVITY EXPENSES ARRANGED, INCURRED, OR PAID BY THE LOBBYING FIRM (OTHER THAN THOSE PAID OR INCURRED BY A LOBBYIST)					
Date	Name and Address of Payee	Name and Official Position of Reportable Persons and Amount Benefiting Each		Description of Consideration	Total Amount of Activity
			\$		\$
Reference No:					
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets				TOTAL SECTION A.1.	
				(Include all subtotals from Continuation Sheets) \$ 0.00	
2. TOTAL ACTIVITY EXPENSES PAID, INCURRED, OR ARRANGED BY ALL LOBBYISTS EMPLOYED BY THE LOBBYING FIRM WHICH HAVE BEEN OR WILL BE REIMBURSED OR PAID BY THE FIRM.					\$ 0.00
3. TOTAL ACTIVITY EXPENSES (Section A, Parts 1 + 2)					\$ 0.00



PERIOD COVERED: 04/01/2015 06/30/2015

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

<b>PART III - PAYMENTS MADE</b> (Continued)			
<b>SECTION B: PAYMENTS MADE TO OTHER LOBBYING FIRMS</b>			
Name, Address and Telephone Number of Firm Contracted With	Name of Employer or Client for Whom Subcontractor was Retained to Lobby	Amount This Period	Cumulative Total to Date
		\$	\$
		<b>TOTAL PAYMENTS</b> (Include all subtotals from continuation sheets)	\$ 0.00

If more space is needed, check box and attach continuation sheets.

**PART IV - CAMPAIGN CONTRIBUTIONS MADE** (Monetary and non-monetary campaign contributions of \$100 or more made to or on behalf of state candidates, elected state officers and any of their controlled committees, or committees supporting such candidates or officers must be reported in A or B below.)

A. If the contributions made by you during the period covered by this report, or by a committee you sponsor, are contained in a campaign disclosure statement which is on file with the Secretary of State, report the name of the committee and its identification number, if any, below.

Name of Major Donor or Recipient Committee Which Has Filed A Campaign Disclosure Statement: \_\_\_\_\_ Identification Number if Recipient Committee: \_\_\_\_\_

B. Contributions of \$100 or more which have not been reported on a campaign disclosure statement, including contributions made by an organization's sponsored committee, must be itemized below.

Date	Name of Recipient	I.D. Number if Committee	Amount
			\$

If more space is needed, check box and attach continuation sheets.

**NOTE: Disclosure in this report does not relieve a filer of any obligation to file the campaign disclosure statements required by Gov. Code Section 84200, et seq.**

# TEXT ANNOTATION

**PAGE 2**

**Schedule F625P2**

**Reference No: 1**

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**REPORT OF LOBBYING FIRM**  
(Government Code Section 86114)

**FORM 625**  
1990

REPORT COVERS PERIOD FROM 05/01/2015 THROUGH 09/30/2015

CUMULATIVE PERIOD BEGINNING \_\_\_\_\_

FOR OFFICIAL USE ONLY

TYPE OR PRINT IN INK

For information required to be provided to you pursuant to the Information Practices Act of 1977, see [Information Manual on Lobbying Disclosure Provisions of the Political Reform Act](#).

A

B

NAME OF LOBBYING FIRM:

**BFO & ASSOCIATES**

BUSINESS ADDRESS: (Number and Street)  
770 L STREET, SUITE 1030

(City)  
SACRAMEN -  
TO

(State)  
CA

(Zip Code)  
95814

TELEPHONE NUMBER:  
9164941665

MAILING ADDRESS: (If different than above)

**PART I -** (Read the instructions on the reverse before completing this section. Then, check one of the boxes below and complete Part I.)

- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHOSE "LOBBYIST REPORTS" (FORM 615) ARE ATTACHED TO THIS REPORT OR
- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHO ENGAGED IN DIRECT COMMUNICATION ON AT LEAST FIVE SEPARATE OCCASIONS DURING THE PERIOD

If more space is needed, check box and attach continuation sheets.

**SUMMARY OF PAYMENTS THIS PERIOD**

A. GRAND TOTAL PAYMENTS RECEIVED: \$ 0.00  
(From Subtotals in Part II)

B. TOTAL ACTIVITY EXPENSES: \$ 0.00  
(From Part III, Section A, 3)

C. TOTAL PAYMENTS TO OTHER LOBBYING FIRMS: \$ 0.00  
(From Part III, Section B)

D. GRAND TOTAL PAYMENTS MADE: \$ 0.00  
(B + C, above)

E. CAMPAIGN CONTRIBUTIONS MADE:

- None This Period  Part IV Completed and Attached

F. IS THE FIRM A MEMBER OF A LOBBYING COALITION ?

- No  Yes (Complete and attach Form 630)

**VERIFICATION**

I have used all reasonable diligence in preparing this Report. I have reviewed the Report and to the best of my knowledge the information contained herein and in the attached schedules is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on (Date) 02/09/2018	At (City and State) Sacramento	By (Signature of Responsible Officer) berman Obaldia
Name of Responsible Officer (Type or Print) berman Obaldia		Title Principal

PERIOD COVERED: 05/01/2015 09/30/2015

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

<b>PART II - PAYMENTS RECEIVED IN CONNECTION WITH LOBBYING ACTIVITY</b> (Amounts may be rounded off to whole dollars. See Instructions on reverse.)				
Employer's Name, Address and Telephone Number JEA 7 Associates 700 L street Sacramento CA 95818				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 10800.00
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
<b>SUBTOTAL</b>			\$ 0.00	

If more space is needed, check box and attach continuation sheets

PERIOD COVERED: 05/01/2015 09/30/2015

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

**PART III - PAYMENTS MADE IN CONNECTION WITH LOBBYING ACTIVITIES**

SECTION A: ACTIVITY EXPENSES (See instructions on reverse.)

1. ACTIVITY EXPENSES ARRANGED, INCURRED, OR PAID BY THE LOBBYING FIRM (OTHER THAN THOSE PAID OR INCURRED BY A LOBBYIST)

Date	Name and Address of Payee	Name and Official Position of Reportable Persons and Amount Benefiting Each		Description of Consideration	Total Amount of Activity
			\$		\$
	Reference No:				

If more space is needed, check box and attach continuation sheets

TOTAL SECTION A.1.

(Include all subtotals from Continuation Sheets) \$ 0.00

2. TOTAL ACTIVITY EXPENSES PAID, INCURRED, OR ARRANGED BY ALL LOBBYISTS EMPLOYED BY THE LOBBYING FIRM WHICH HAVE BEEN OR WILL BE REIMBURSED OR PAID BY THE FIRM. \$ 0.00

3. TOTAL ACTIVITY EXPENSES (Section A, Parts 1 + 2) \$ 0.00

PERIOD COVERED: 05/01/2015 09/30/2015

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

<b>PART III - PAYMENTS MADE</b> (Continued)			
SECTION B: PAYMENTS MADE TO OTHER LOBBYING FIRMS			
Name, Address and Telephone Number of Firm Contracted With	Name of Employer or Client for Whom Subcontractor was Retained to Lobby	Amount This Period	Cumulative Total to Date
		\$	\$
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets.		<b>TOTAL PAYMENTS</b> (Include all subtotals from continuation sheets)	\$ 0.00
<b>PART IV - CAMPAIGN CONTRIBUTIONS MADE</b> (Monetary and non-monetary campaign contributions of \$100 or more made to or on behalf of <u>state</u> candidates, elected state officers and any of their controlled committees, or committees supporting such candidates or officers must be reported in A or B below.)			
A. If the contributions made by you during the period covered by this report, or by a committee you sponsor, are contained in a campaign disclosure statement which is on file with the Secretary of State, report the name of the committee and its identification number, if any, below.			
Name of Major Donor or Recipient Committee Which Has Filed A Campaign Disclosure Statement: _____		Identification Number if Recipient Committee: _____	
B. Contributions of \$100 or more which have not been reported on a campaign disclosure statement, including contributions made by an organization's sponsored committee, must be itemized below.			
Date	Name of Recipient	I.D. Number if Committee	Amount
			\$
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets.			
<b>NOTE: Disclosure in this report does not relieve a filer of any obligation to file the campaign disclosure statements required by Gov. Code Section 84200, et seq.</b>			

**REPORT OF LOBBYING FIRM**  
(Government Code Section 86114)

**FORM 625**  
1990

REPORT COVERS PERIOD FROM 10/01/2015 THROUGH 12/31/2015

CUMULATIVE PERIOD BEGINNING \_\_\_\_\_

TYPE OR PRINT IN INK

For information required to be provided to you pursuant to the Information Practices Act of 1977, see Information Manual on Lobbying Disclosure Provisions of the Political Reform Act.

FOR OFFICIAL USE ONLY

A

B

NAME OF LOBBYING FIRM:

**BFO & ASSOCIATES**

BUSINESS ADDRESS: (Number and Street)  
770 L STREET, SUITE 1030

(City) (State) (Zip Code)  
SACRAMEN - CA 95814  
TO

TELEPHONE NUMBER:  
9164941665

MAILING ADDRESS: (If different than above)

**PART I** - (Read the instructions on the reverse before completing this section. Then, check one of the boxes below and complete Part I.)

- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHOSE "LOBBYIST REPORTS" (FORM 615) ARE ATTACHED TO THIS REPORT OB
- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHO ENGAGED IN DIRECT COMMUNICATION ON AT LEAST FIVE SEPARATE OCCASIONS DURING THE PERIOD

If more space is needed, check box and attach continuation sheets.

**SUMMARY OF PAYMENTS THIS PERIOD**

A. GRAND TOTAL PAYMENTS RECEIVED: \$ 0.00  
(From Subtotals in Part II)

B. TOTAL ACTIVITY EXPENSES: \$ 0.00  
(From Part III, Section A, 3)

C. TOTAL PAYMENTS TO OTHER LOBBYING FIRMS: \$ 0.00  
(From Part III, Section B)

D. GRAND TOTAL PAYMENTS MADE: \$ 0.00  
(B + C, above)

E. CAMPAIGN CONTRIBUTIONS MADE:  
 None This Period  Part IV Completed and Attached

F. IS THE FIRM A MEMBER OF A LOBBYING COALITION ?  
 No  Yes (Complete and attach Form 630)

**VERIFICATION**

I have used all reasonable diligence in preparing this Report. I have reviewed the Report and to the best of my knowledge the information contained herein and in the attached schedules is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on (Date) 02/09/2018	At (City and State) sacramento	By (Signature of Responsible Officer) Berman obaldia
Name of Responsible Officer (Type or Print) Berman obaldia		Title principal

PERIOD COVERED: 10/01/2015 12/31/2015

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

<b>PART II - PAYMENTS RECEIVED IN CONNECTION WITH LOBBYING ACTIVITY</b> (Amounts may be rounded off to whole dollars. See Instructions on reverse.)				
Employer's Name, Address and Telephone Number JEA 7 Associates 700 L street Sacramento CA 95818				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 10800.00
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
			<b>SUBTOTAL</b>	\$ 0.00

If more space is needed, check box and attach continuation sheets



PERIOD COVERED: 10/01/2015 12/31/2015

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

**PART III - PAYMENTS MADE IN CONNECTION WITH LOBBYING ACTIVITIES**

**SECTION A: ACTIVITY EXPENSES (See instructions on reverse.)**

**1. ACTIVITY EXPENSES ARRANGED, INCURRED, OR PAID BY THE LOBBYING FIRM (OTHER THAN THOSE PAID OR INCURRED BY A LOBBYIST)**

Date	Name and Address of Payee	Name and Official Position of Reportable Persons and Amount Benefiting Each		Description of Consideration	Total Amount of Activity
			\$		\$

Reference No:

If more space is needed, check box and attach continuation sheets

TOTAL SECTION A.1.

(Include all subtotals from Continuation Sheets) \$ 0.00

2. TOTAL ACTIVITY EXPENSES PAID, INCURRED, OR ARRANGED BY ALL LOBBYISTS EMPLOYED BY THE LOBBYING FIRM WHICH HAVE BEEN OR WILL BE REIMBURSED OR PAID BY THE FIRM. \$ 0.00

3. TOTAL ACTIVITY EXPENSES (Section A, Parts 1 + 2) \$ 0.00

PERIOD COVERED: 10/01/2015 12/31/2015

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

**PART III - PAYMENTS MADE** (Continued)

**SECTION B: PAYMENTS MADE TO OTHER LOBBYING FIRMS**

Name, Address and Telephone Number of Firm Contracted With	Name of Employer or Client for Whom Subcontractor was Retained to Lobby	Amount This Period	Cumulative Total to Date
		\$	\$
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets.		<b>TOTAL PAYMENTS</b> (Include all subtotals from continuation sheets)	\$ 0.00

**PART IV - CAMPAIGN CONTRIBUTIONS MADE** (Monetary and non-monetary campaign contributions of \$100 or more made to or on behalf of state candidates, elected state officers and any of their controlled committees, or committees supporting such candidates or officers must be reported in A or B below.)

A. If the contributions made by you during the period covered by this report, or by a committee you sponsor, are contained in a campaign disclosure statement which is on file with the Secretary of State, report the name of the committee and its identification number, if any, below.

Name of Major Donor or Recipient Committee Which Has Filed A Campaign Disclosure Statement: \_\_\_\_\_ Identification Number if Recipient Committee: \_\_\_\_\_

B. Contributions of \$100 or more which have not been reported on a campaign disclosure statement, including contributions made by an organization's sponsored committee, must be itemized below.

Date	Name of Recipient	I.D. Number if Committee	Amount
			\$

If more space is needed, check box and attach continuation sheets.

**NOTE: Disclosure in this report does not relieve a filer of any obligation to file the campaign disclosure statements required by Gov. Code Section 84200, et seq.**

**TEXT ANNOTATION**

**PAGE 2**

**Schedule F625P2**

**Reference No: 1**

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**REPORT OF LOBBYING FIRM**  
(Government Code Section 86114)

**FORM 625**  
1990

REPORT COVERS PERIOD FROM 01/01/2016 THROUGH 03/31/2016

CUMULATIVE PERIOD BEGINNING \_\_\_\_\_

FOR OFFICIAL USE ONLY

TYPE OR PRINT IN INK

For information required to be provided to you pursuant to the Information Practices Act of 1977, see Information Manual on Lobbying Disclosure Provisions of the Political Reform Act.

A

B

NAME OF LOBBYING FIRM:

**BFO & ASSOCIATES**

BUSINESS ADDRESS: (Number and Street)  
770 L STREET, SUITE 1030

(City)  
SACRAMEN -  
TO

(State)  
CA

(Zip Code)  
95814

TELEPHONE NUMBER:  
9164941665

MAILING ADDRESS: (If different than above)

**PART I** - (Read the instructions on the reverse before completing this section. Then, check one of the boxes below and complete Part I.)

- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHOSE "LOBBYIST REPORTS" (FORM 615) ARE ATTACHED TO THIS REPORT OR
- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHO ENGAGED IN DIRECT COMMUNICATION ON AT LEAST FIVE SEPARATE OCCASIONS DURING THE PERIOD

If more space is needed, check box and attach continuation sheets.

**SUMMARY OF PAYMENTS THIS PERIOD**

A. GRAND TOTAL PAYMENTS RECEIVED: \$ 0.00  
(From Subtotals in Part II)

B. TOTAL ACTIVITY EXPENSES: \$ 0.00  
(From Part III, Section A, 3)

C. TOTAL PAYMENTS TO OTHER LOBBYING FIRMS: \$ 0.00  
(From Part III, Section B)

D. GRAND TOTAL PAYMENTS MADE: \$ 0.00  
(B + C, above)

E. CAMPAIGN CONTRIBUTIONS MADE:

- None This Period  Part IV Completed and Attached

F. IS THE FIRM A MEMBER OF A LOBBYING COALITION ?

- No  Yes (Complete and attach Form 630)

**VERIFICATION**

**I have used all reasonable diligence in preparing this Report. I have reviewed the Report and to the best of my knowledge the information contained herein and in the attached schedules is true and complete.**

**I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.**

Executed on (Date) 02/09/2018	At (City and State) Sacramento	By (Signature of Responsible Officer) Berman Obaldia
Name of Responsible Officer (Type or Print) Berman Obaldia		Title Principal

PERIOD COVERED: 01/01/2016 03/31/2016

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

<b>PART II - PAYMENTS RECEIVED IN CONNECTION WITH LOBBYING ACTIVITY</b> (Amounts may be rounded off to whole dollars. See Instructions on reverse.)				
Employer's Name, Address and Telephone Number JEA 7 Associates 700 L street Sacramento CA 95818				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 7800.00
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
			<b>SUBTOTAL</b>	\$ 0.00

If more space is needed, check box and attach continuation sheets

PERIOD COVERED: 01/01/2016 03/31/2016

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

**PART III - PAYMENTS MADE IN CONNECTION WITH LOBBYING ACTIVITIES**

SECTION A: ACTIVITY EXPENSES (See instructions on reverse.)

1. ACTIVITY EXPENSES ARRANGED, INCURRED, OR PAID BY THE LOBBYING FIRM (OTHER THAN THOSE PAID OR INCURRED BY A LOBBYIST)

Date	Name and Address of Payee	Name and Official Position of Reportable Persons and Amount Benefiting Each	Description of Consideration	Total Amount of Activity
			\$	\$
	Reference No:			

If more space is needed, check box and attach continuation sheets

**TOTAL SECTION A.1.**

(Include all subtotals from Continuation Sheets) \$ 0.00

**2: TOTAL ACTIVITY EXPENSES PAID, INCURRED, OR ARRANGED BY ALL LOBBYISTS EMPLOYED BY THE LOBBYING FIRM WHICH HAVE BEEN OR WILL BE REIMBURSED OR PAID BY THE FIRM.** \$ 0.00

**3. TOTAL ACTIVITY EXPENSES (Section A, Parts 1 + 2)** \$ 0.00

PERIOD COVERED: 01/01/2016 03/31/2016

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

<b>PART III - PAYMENTS MADE</b> (Continued)			
SECTION B: PAYMENTS MADE TO OTHER LOBBYING FIRMS			
Name, Address and Telephone Number of Firm Contracted With	Name of Employer or Client for Whom Subcontractor was Retained to Lobby	Amount This Period	Cumulative Total to Date
		\$	\$
		<b>TOTAL PAYMENTS</b> (Include all subtotals from continuation sheets)	\$ 0.00

If more space is needed, check box and attach continuation sheets.

**PART IV - CAMPAIGN CONTRIBUTIONS MADE** (Monetary and non-monetary campaign contributions of \$100 or more made to or on behalf of state candidates, elected state officers and any of their controlled committees, or committees supporting such candidates or officers must be reported in A or B below.)

A. If the contributions made by you during the period covered by this report, or by a committee you sponsor, are contained in a campaign disclosure statement which is on file with the Secretary of State, report the name of the committee and its identification number, if any, below.

Name of Major Donor or Recipient Committee Which Has Filed A Campaign Disclosure Statement: \_\_\_\_\_ Identification Number if Recipient Committee: \_\_\_\_\_

B. Contributions of \$100 or more which have not been reported on a campaign disclosure statement, including contributions made by an organization's sponsored committee, must be itemized below.

Date	Name of Recipient	I.D. Number if Committee	Amount
			\$

If more space is needed, check box and attach continuation sheets.

**NOTE: Disclosure in this report does not relieve a filer of any obligation to file the campaign disclosure statements required by Gov. Code Section 84200, et seq.**

**REPORT OF LOBBYING FIRM**  
(Government Code Section 86114)

**FORM 625**  
1990

REPORT COVERS PERIOD FROM 04/01/2016 THROUGH 06/30/2016

CUMULATIVE PERIOD BEGINNING \_\_\_\_\_

FOR OFFICIAL USE ONLY

A

B

TYPE OR PRINT IN INK

For information required to be provided to you pursuant to the Information Practices Act of 1977, see Information Manual on Lobbying Disclosure Provisions of the Political Reform Act.

NAME OF LOBBYING FIRM:

**BFO & ASSOCIATES**

BUSINESS ADDRESS: (Number and Street) 770 L STREET, SUITE 1030	(City) SACRAMEN - TO	(State) CA	(Zip Code) 95814	TELEPHONE NUMBER: 9164941665
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MAILING ADDRESS: (If different than above)

**PART I -** (Read the instructions on the reverse before completing this section. Then, check one of the boxes below and complete Part I.)

- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHOSE "LOBBYIST REPORTS" (FORM 615) ARE ATTACHED TO THIS REPORT OR
- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHO ENGAGED IN DIRECT COMMUNICATION ON AT LEAST FIVE SEPARATE OCCASIONS DURING THE PERIOD

If more space is needed, check box and attach continuation sheets.

**SUMMARY OF PAYMENTS THIS PERIOD**

A. GRAND TOTAL PAYMENTS RECEIVED: \$ <u>0.00</u> (From Subtotals in Part II)
B. TOTAL ACTIVITY EXPENSES: \$ <u>0.00</u> (From Part III, Section A, 3)
C. TOTAL PAYMENTS TO OTHER LOBBYING FIRMS: \$ <u>0.00</u> (From Part III, Section B)
D. GRAND TOTAL PAYMENTS MADE: \$ <u>0.00</u> (B + C, above)

E. CAMPAIGN CONTRIBUTIONS MADE:  
 None This Period     Part IV Completed and Attached

F. IS THE FIRM A MEMBER OF A LOBBYING COALITION ?  
 No                       Yes (Complete and attach Form 630)

**VERIFICATION**

**I have used all reasonable diligence in preparing this Report. I have reviewed the Report and to the best of my knowledge the information contained herein and in the attached schedules is true and complete.**

**I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.**

Executed on (Date) 02/09/2018	At (City and State) sacramento	By (Signature of Responsible Officer) berman obaldia
Name of Responsible Officer (Type or Print) berman obaldia		Title principal



PERIOD COVERED: 04/01/2016 06/30/2016

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

<b>PART II - PAYMENTS RECEIVED IN CONNECTION WITH LOBBYING ACTIVITY</b> (Amounts may be rounded off to whole dollars. See Instructions on reverse.)				
Employer's Name, Address and Telephone Number JEA 7 Associates 700 L street Sacramento CA 95818				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
			<b>SUBTOTAL</b>	
			\$ 0.00	

If more space is needed, check box and attach continuation sheets

PERIOD COVERED: 04/01/2016 06/30/2016

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

**PART III - PAYMENTS MADE IN CONNECTION WITH LOBBYING ACTIVITIES**

**SECTION A: ACTIVITY EXPENSES** (See instructions on reverse.)

1. ACTIVITY EXPENSES ARRANGED, INCURRED, OR PAID BY THE LOBBYING FIRM (OTHER THAN THOSE PAID OR INCURRED BY A LOBBYIST)

Date	Name and Address of Payee	Name and Official Position of Reportable Persons and Amount Benefiting Each		Description of Consideration	Total Amount of Activity
			\$		\$
	Reference No:				

If more space is needed, check box and attach continuation sheets TOTAL SECTION A.1.  
(Include all subtotals from Continuation Sheets) \$ 0.00

2. TOTAL ACTIVITY EXPENSES PAID, INCURRED, OR ARRANGED BY ALL LOBBYISTS EMPLOYED BY THE LOBBYING FIRM WHICH HAVE BEEN OR WILL BE REIMBURSED OR PAID BY THE FIRM. \$ 0.00

3. TOTAL ACTIVITY EXPENSES (Section A, Parts 1 + 2) \$ 0.00

PERIOD COVERED: 04/01/2016 06/30/2016

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

**PART III - PAYMENTS MADE** (Continued)

**SECTION B: PAYMENTS MADE TO OTHER LOBBYING FIRMS**

Name, Address and Telephone Number of Firm Contracted With	Name of Employer or Client for Whom Subcontractor was Retained to Lobby	Amount This Period	Cumulative Total to Date
		\$	\$
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets.		<b>TOTAL PAYMENTS</b> (Include all subtotals from continuation sheets)	\$ 0.00

**PART IV - CAMPAIGN CONTRIBUTIONS MADE** (Monetary and non-monetary campaign contributions of \$100 or more made to or on behalf of state candidates, elected state officers and any of their controlled committees, or committees supporting such candidates or officers must be reported in A or B below.)

A. If the contributions made by you during the period covered by this report, or by a committee you sponsor, are contained in a campaign disclosure statement which is on file with the Secretary of State, report the name of the committee and its identification number, if any, below.

Name of Major Donor or Recipient Committee Which Has Filed A Campaign Disclosure Statement: \_\_\_\_\_ Identification Number if Recipient Committee: \_\_\_\_\_

B. Contributions of \$100 or more which have not been reported on a campaign disclosure statement, including contributions made by an organization's sponsored committee, must be itemized below.

Date	Name of Recipient	I.D. Number if Committee	Amount
			\$

If more space is needed, check box and attach continuation sheets.

**NOTE: Disclosure in this report does not relieve a filer of any obligation to file the campaign disclosure statements required by Gov. Code Section 84200, et seq.**

**REPORT OF LOBBYING FIRM**  
(Government Code Section 86114)

**FORM 625**  
1990

REPORT COVERS PERIOD FROM 07/01/2016 THROUGH 09/30/2016

CUMULATIVE PERIOD BEGINNING \_\_\_\_\_

FOR OFFICIAL USE ONLY

TYPE OR PRINT IN INK

A

B

For information required to be provided to you pursuant to the Information Practices Act of 1977, see Information Manual on Lobbying Disclosure Provisions of the Political Reform Act.

NAME OF LOBBYING FIRM:

**BFO & ASSOCIATES**

BUSINESS ADDRESS: (Number and Street) 770 L STREET, SUITE 1030	(City) SACRAMEN - TO	(State) CA	(Zip Code) 95814	TELEPHONE NUMBER: 9164941665
---	----------------------------	---------------	---------------------	---------------------------------

MAILING ADDRESS: (If different than above)

**PART I-** (Read the instructions on the reverse before completing this section. Then, check one of the boxes below and complete Part I.)

PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHOSE "LOBBYIST REPORTS" (FORM 615) ARE ATTACHED TO THIS REPORT OR

PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHO ENGAGED IN DIRECT COMMUNICATION ON AT LEAST FIVE SEPARATE OCCASIONS DURING THE PERIOD

If more space is needed, check box and attach continuation sheets.

**SUMMARY OF PAYMENTS THIS PERIOD**

A. GRAND TOTAL PAYMENTS RECEIVED: \$ <u>0.00</u> (From Subtotals in Part II)	E. CAMPAIGN CONTRIBUTIONS MADE: <input type="checkbox"/> None This Period <input type="checkbox"/> Part IV Completed and Attached
B. TOTAL ACTIVITY EXPENSES: \$ <u>0.00</u> (From Part III, Section A, 3)	F. IS THE FIRM A MEMBER OF A LOBBYING COALITION ? <input type="checkbox"/> No <input type="checkbox"/> Yes (Complete and attach Form 630)
C. TOTAL PAYMENTS TO OTHER LOBBYING FIRMS: \$ <u>0.00</u> (From Part III, Section B)	
D. GRAND TOTAL PAYMENTS MADE: \$ <u>0.00</u> (B + C, above)	

**VERIFICATION**

I have used all reasonable diligence in preparing this Report. I have reviewed the Report and to the best of my knowledge the information contained herein and in the attached schedules is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on (Date) 02/09/2018	At (City and State) Sacramento	By (Signature of Responsible Officer) Berman Obaldia
Name of Responsible Officer (Type or Print) Berman Obaldia		Title Principal

PERIOD COVERED: 07/01/2016 09/30/2016

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

<b>PART II - PAYMENTS RECEIVED IN CONNECTION WITH LOBBYING ACTIVITY</b> (Amounts may be rounded off to whole dollars. See Instructions on reverse.)				
Employer's Name, Address and Telephone Number JEA 7 Associates 700 L street Sacramento CA 95818				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
			<b>SUBTOTAL</b>	\$ 0.00

If more space is needed, check box and attach continuation sheets

PERIOD COVERED: 07/01/2016 09/30/2016

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

<b>PART III - PAYMENTS MADE IN CONNECTION WITH LOBBYING ACTIVITIES</b>					
SECTION A: ACTIVITY EXPENSES (See instructions on reverse.)					
1. ACTIVITY EXPENSES ARRANGED, INCURRED, OR PAID BY THE LOBBYING FIRM (OTHER THAN THOSE PAID OR INCURRED BY A LOBBYIST)					
Date	Name and Address of Payee	Name and Official Position of Reportable Persons and Amount Benefiting Each		Description of Consideration	Total Amount of Activity
			\$		\$
	Reference No:				
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets				<b>TOTAL SECTION A.1.</b>	
				(Include all subtotals from Continuation Sheets)	\$ 0.00
<b>2. TOTAL ACTIVITY EXPENSES PAID, INCURRED, OR ARRANGED BY ALL LOBBYISTS EMPLOYED BY THE LOBBYING FIRM WHICH HAVE BEEN OR WILL BE REIMBURSED OR PAID BY THE FIRM.</b>					\$ 0.00
<b>3. TOTAL ACTIVITY EXPENSES (Section A, Parts 1 + 2)</b>					\$ 0.00

PERIOD COVERED: 07/01/2016 09/30/2016

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

**PART III - PAYMENTS MADE** (Continued)

**SECTION B: PAYMENTS MADE TO OTHER LOBBYING FIRMS**

Name, Address and Telephone Number of Firm Contracted With	Name of Employer or Client for Whom Subcontractor was Retained to Lobby	Amount This Period	Cumulative Total to Date
		\$	\$
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets.		<b>TOTAL PAYMENTS</b> (Include all subtotals from continuation sheets)	\$ 0.00

**PART IV - CAMPAIGN CONTRIBUTIONS MADE** (Monetary and non-monetary campaign contributions of \$100 or more made to or on behalf of state candidates, elected state officers and any of their controlled committees, or committees supporting such candidates or officers must be reported in A or B below.)

A. If the contributions made by you during the period covered by this report, or by a committee you sponsor, are contained in a campaign disclosure statement which is on file with the Secretary of State, report the name of the committee and its identification number, if any, below.

Name of Major Donor or Recipient Committee Which Has Filed A Campaign Disclosure Statement: \_\_\_\_\_ Identification Number if Recipient Committee: \_\_\_\_\_

B. Contributions of \$100 or more which have not been reported on a campaign disclosure statement, including contributions made by an organization's sponsored committee, must be itemized below.

Date	Name of Recipient	I.D. Number if Committee	Amount
			\$

If more space is needed, check box and attach continuation sheets.

**NOTE: Disclosure in this report does not relieve a filer of any obligation to file the campaign disclosure statements required by Gov. Code Section 84200, et seq.**

# TEXT ANNOTATION

**PAGE 2**

**Schedule F625P2**

**Reference No: 1**

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**REPORT OF LOBBYING FIRM**  
(Government Code Section 86114)

**FORM 625**  
1990

REPORT COVERS PERIOD FROM 10/01/2016 THROUGH 12/31/2016

CUMULATIVE PERIOD BEGINNING \_\_\_\_\_

**FOR OFFICIAL USE ONLY**

**A**

**B**

**TYPE OR PRINT IN INK**

For information required to be provided to you pursuant to the Information Practices Act of 1977, see Information Manual on Lobbying Disclosure Provisions of the Political Reform Act.

NAME OF LOBBYING FIRM:

**BFO & ASSOCIATES**

BUSINESS ADDRESS: (Number and Street) 770 L STREET, SUITE 1030	(City) SACRAMEN - TO	(State) CA	(Zip Code) 95814	TELEPHONE NUMBER: 9164941665
---	----------------------------	---------------	---------------------	---------------------------------

MAILING ADDRESS: (If different than above)

**PART I -** (Read the instructions on the reverse before completing this section. Then, check one of the boxes below and complete Part I.)

- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHOSE "LOBBYIST REPORTS" (FORM 615) ARE ATTACHED TO THIS REPORT **OR**
- PARTNERS, OWNERS, OFFICERS, OR EMPLOYEES WHO ENGAGED IN DIRECT COMMUNICATION ON AT LEAST FIVE SEPARATE OCCASIONS DURING THE PERIOD

If more space is needed, check box and attach continuation sheets.

**SUMMARY OF PAYMENTS THIS PERIOD**

A. GRAND TOTAL PAYMENTS RECEIVED: \$ 0.00  
(From Subtotals in Part II)

B. TOTAL ACTIVITY EXPENSES: \$ 0.00  
(From Part III, Section A, 3)

C. TOTAL PAYMENTS TO OTHER LOBBYING FIRMS: \$ 0.00  
(From Part III, Section B)

D. GRAND TOTAL PAYMENTS MADE: \$ 0.00  
(B + C, above)

E. CAMPAIGN CONTRIBUTIONS MADE:  
 None This Period  Part IV Completed and Attached

F. IS THE FIRM A MEMBER OF A LOBBYING COALITION ?  
 No  Yes (Complete and attach Form 630)

**VERIFICATION**

I have used all reasonable diligence in preparing this Report. I have reviewed the Report and to the best of my knowledge the information contained herein and in the attached schedules is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on (Date) 02/09/2018	At (City and State) sacramento	By (Signature of Responsible Officer) Berman obaldia
Name of Responsible Officer (Type or Print) Berman obaldia		Title principal

PERIOD COVERED: 10/01/2016 12/31/2016

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

<b>PART II - PAYMENTS RECEIVED IN CONNECTION WITH LOBBYING ACTIVITY</b> (Amounts may be rounded off to whole dollars. See Instructions on reverse.)				
Employer's Name, Address and Telephone Number JEA 7 Associates 700 L street Sacramento CA 95818				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
Employer's Name, Address and Telephone Number				
Legislative or State Agency Administrative Actions "Actively" Lobbied During the Period. (See instructions on reverse.)				
Fees and Retainers	Reimbursements of Expenses	Advances or Other Payments (attach explanation)	Total This Period	Cumulative Total to Date
\$	\$	\$	\$	\$
			<b>SUBTOTAL</b>	
			\$ 0.00	

If more space is needed, check box and attach continuation sheets

PERIOD COVERED: 10/01/2016 12/31/2016

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

**PART III - PAYMENTS MADE IN CONNECTION WITH LOBBYING ACTIVITIES**

SECTION A: ACTIVITY EXPENSES (See instructions on reverse.)

1. ACTIVITY EXPENSES ARRANGED, INCURRED, OR PAID BY THE LOBBYING FIRM (OTHER THAN THOSE PAID OR INCURRED BY A LOBBYIST)

Date	Name and Address of Payee	Name and Official Position of Reportable Persons and Amount Benefiting Each		Description of Consideration	Total Amount of Activity
			\$		\$
Reference No:					

If more space is needed, check box and attach continuation sheets

TOTAL SECTION A.1.

(Include all subtotals from Continuation Sheets) \$ 0.00

2. TOTAL ACTIVITY EXPENSES PAID, INCURRED, OR ARRANGED BY ALL LOBBYISTS EMPLOYED BY THE LOBBYING FIRM WHICH HAVE BEEN OR WILL BE REIMBURSED OR PAID BY THE FIRM. \$ 0.00

3. TOTAL ACTIVITY EXPENSES (Section A, Parts 1 + 2) \$ 0.00

PERIOD COVERED: 10/01/2016 12/31/2016

NAME OF LOBBYING FIRM: BFO & ASSOCIATES

<b>PART III - PAYMENTS MADE</b> (Continued)			
SECTION B: PAYMENTS MADE TO OTHER LOBBYING FIRMS			
Name, Address and Telephone Number of Firm Contracted With	Name of Employer or Client for Whom Subcontractor was Retained to Lobby	Amount This Period	Cumulative Total to Date
		\$	\$
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets.		<b>TOTAL PAYMENTS</b> (Include all subtotals from continuation sheets)	\$ 0.00
<b>PART IV - CAMPAIGN CONTRIBUTIONS MADE</b> (Monetary and non-monetary campaign contributions of \$100 or more made to or on behalf of <del>state</del> candidates, elected state officers and any of their controlled committees, or committees supporting such candidates or officers must be reported in A or B below.)			
A. If the contributions made by you during the period covered by this report, or by a committee you sponsor, are contained in a campaign disclosure statement which is on file with the Secretary of State, report the name of the committee and its identification number, if any, below.			
Name of Major Donor or Recipient Committee Which Has Filed A Campaign Disclosure Statement: _____		Identification Number if Recipient Committee: _____	
B. Contributions of \$100 or more which have not been reported on a campaign disclosure statement, including contributions made by an organization's sponsored committee, must be itemized below.			
Date	Name of Recipient	I.D. Number if Committee	Amount
			\$
<input type="checkbox"/> If more space is needed, check box and attach continuation sheets.			
<b>NOTE: Disclosure in this report does not relieve a filer of any obligation to file the campaign disclosure statements required by Gov. Code Section 84200, et seq.</b>			

**Exhibit A-13**

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DEFAULT DECISION AND ORDER FPPC NO. 16/724

# ORIGINAL LOBBYIST REPORT

(Government Code Section 86113)

PAGE 1 OF 1



FORM 615  
1990

REPORT COVERS PERIOD FROM JAN 12, 2015 THROUGH MARCH 31, 2015

IMPORTANT: This report is to be completed by the lobbyist and attached to the Report of Lobbying Firm (Form 625) or Report of Lobbyist Employer/Report of Lobbying Coalition (Form 635), whichever is applicable.

RECEIVED AND FILED  
in the office of the Secretary of State  
of the State of California

APR 30 2015

Hand Delivered, Sacramento

A ID# 1374828

B *[Handwritten initials]*

TYPE OR PRINT IN INK

For information required to be provided to you pursuant to the Information Practices Act of 1977, see Information Manual on Lobbying Disclosure Provisions of the Political Reform Act.

NAME: (Last) OBALDIA (First) BERMAN (M.I.) F.

NAME OF FIRM, EMPLOYER, OR COALITION: BFO & ASSOCIATES

BUSINESS ADDRESS: (Number and Street) (City) (State) (Zip Code) 770 L. STREET SUITE 1030, SAC. CA 95814 TELEPHONE NUMBER: (916) 494-1665

MAILING ADDRESS: (If different than above)

**PART I - ACTIVITY EXPENSES PAID, INCURRED, ARRANGED OR PROVIDED BY THE LOBBYIST** (See definitions and instructions on reverse.)

I have reviewed the form and instructions for reporting Activity Expenses and I have nothing to report.

Date	Name and Address of Payee	Name and Official Position of Reportable Persons and Amount Benefiting Each	Description of Consideration	Total Amount of Activity

If more space is needed, check box and attach continuation sheets

**PART II - CAMPAIGN CONTRIBUTIONS MADE OR DELIVERED** (See instructions on reverse.)

I have reviewed the form and instructions for reporting Campaign Contributions Made or Delivered and:

Part II has been completed and is attached.  I have nothing to report.

**VERIFICATION**

I have used all reasonable diligence in preparing this Report. I have reviewed the Report and to the best of my knowledge the information contained herein and in the attached schedules is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

C

D

E EXECUTED ON (DATE) AT (CITY AND STATE) BY (SIGNATURE OF LOBBYIST)

F April 30, 2015 SACRAMENTO, CA *[Signature]*

**Exhibit A-14**

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DEFAULT DECISION AND ORDER FPPC NO. 16/724



FORM 690  
1990

# AMENDMENT TO LOBBYING DISCLOSURE REPORT

FOR USE BY FILERS AMENDING REPORTS FILED PURSUANT  
TO GOVERNMENT CODE SECTIONS 86100-86117

ORIGINAL

RECEIVED AND FILED  
in the office of the Secretary of State  
of the State of California

JUL 23 2015

Hand Delivered, Sacramento  
FOR OFFICIAL USE ONLY

A  
# 1374828

B

TYPE OR PRINT IN INK

For information required to be provided to you pursuant to the Information Practices Act of 1977, see Information Manual on Lobbying Disclosure Provisions of the Political Reform Act.

NAME OF FILER:

BERMA OBALDIA

NAME OF EMPLOYER OR FIRM: (If this amendment is being filed by a lobbyist)

BF & ASSOCIATES # 1374827

BUSINESS ADDRESS OF FILER: (Number and Street) (City) (State) (Zip Code)

700 "L" STREET SACRAMENTO, CA 95810

TELEPHONE NUMBER:

(916) 494-1665

(The information required must correspond to the information provided on the original report filed.)

1. The following information amends the lobbying disclosure report Form No. 615 executed on April 30, 2015  
(Mo. - Day - Year)  
for the period 1/1/2015 to 3/31/2015.

2. Amended information affects items on Part(s) \_\_\_\_\_ Section(s) \_\_\_\_\_.

3. Describe changes below.

no activity + report for this period.

## VERIFICATION

I have used all reasonable diligence in preparing this Amendment. I have reviewed the Amendment and to the best of my knowledge the information contained herein is true and complete.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on (Date) <u>7/23/2015</u>	At (City and State) <u>SACRAMENTO, CA</u>	By (Signature of Filer) <u>Berma</u>
Name of Filer (Type or Print) <u>BERMA OBALDIA</u>	Title <u>LOBBYIST</u>	



**Exhibit A-15**

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DEFAULT DECISION AND ORDER FPPC NO. 16/724



ALEX PADILLA | SECRETARY OF STATE | STATE OF CALIFORNIA  
POLITICAL REFORM

1500 11<sup>th</sup> Street, Room 495 | Sacramento, CA 95814 | Tel 916.653.6224 | Fax 916.653.5045 | www.sos.ca.gov

February 02, 2016

BFO & ASSOCIATES  
C/O BERMAN OBALDIA, ID# 1374828  
770 L STREET, SUITE 1030  
SACRAMENTO CA 95814

Re: Revocation of Conditional Lobbyist Certification  
Failure to Complete Lobbyist Ethics Course  
Government Code section 86103(d)(2)

Dear Filer:

Pursuant to Government Code section 86103(d)(2), your conditional lobbyist certification has been revoked as of **January 16, 2016** and you will be prohibited from acting as a lobbyist.

The basis for certification revocation is failure to certify by January 15, 2016, to the completion of the required lobbyist ethics course described in Government Code section 8956(b). Your conditional lobbyist certification will be void until an amended lobbyist certification (Form 604) is filed with this office stating the ethics course has been completed and providing the date of the course. For information regarding dates of future ethics courses, please contact Stacey Whitehead at [stacey.whitehead@sen.ca.gov](mailto:stacey.whitehead@sen.ca.gov) or visit the Senate Ethics Committee on Legislative Ethics website at <http://seth.senate.ca.gov/sites/seth.senate.ca.gov/files/Lobbyist-signup-form.p>

Pursuant to Government Code section 81010(d), copies of this letter are being forwarded to the agencies noted below.

If you have any questions regarding revocation of your certification, please contact Pam Banford at (916) 653-6704.

Sincerely,

CHRIS REYNOLDS; Chief  
Political Reform Division

cc: Fair Political Practices Commission  
Assembly Legislative Ethics Committee  
Senate Committee on Legislative Ethics  
California Public Employees Retirement System  
California State Teachers Retirement System  
University of California Regents

**Exhibit A-16**

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DEFAULT DECISION AND ORDER FPPC NO. 16/724



## FAIR POLITICAL PRACTICES COMMISSION

1102 Q Street • Suite 3000 • Sacramento, CA 95811

June 4, 2019

Berman Obaldia  
2362 Maritime Drive, Suite 120  
Elk Grove, CA 95758

### **1<sup>st</sup> NOTICE OF DEFAULT DECISION AND ORDER**

**Re: FPPC No. 16/724, In the Matter of BFO & Associates and Berman Obaldia**

Dear Mr. Obaldia:

On May 6, 2019, you were served with an accusation in the above referenced matter. Pursuant to the Administrative Procedure Act, you were required to file a notice of defense within 15 days after service of the accusation to request an administrative hearing. You did not file a notice of defense. **As a result, you have waived your right to an administrative hearing.**<sup>1</sup>

The Fair Political Practices Commission (the "Commission") will proceed with a default, decision and order ("default") against you. The initial notice of this default will appear on the published agenda for the Commission's public meeting on July 18, 2019. This agenda will be public and you could be contacted by the media with questions. **The Commission will be asked to adopt the default at the subsequent public meeting on August 15, 2019 and impose an administrative penalty of \$18,500 against you.**

Following the issuance of the default, the Commission will obtain a judgment in superior court for the amount owed and then take action to collect the judgment. Please be advised that administrative penalties for violations of the Political Reform Act cannot be discharged in bankruptcy proceedings.

You may still resolve this matter informally by way of a stipulated settlement if an agreement can be reached prior to this matter appearing for consideration by the Commission.

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<sup>1</sup> Government Code section 11505.

Please contact me at (916) 322-7771 or [ryang@fppc.ca.gov](mailto:ryang@fppc.ca.gov) if you wish to enter into a settlement to resolve this matter in its entirety.

Sincerely,

A handwritten signature in black ink, appearing to be 'Ruth Yang', written in a cursive style.

Ruth Yang  
Commission Counsel  
Enforcement Division

**Exhibit A-17**

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DEFAULT DECISION AND ORDER FPPC NO. 16/724



## FAIR POLITICAL PRACTICES COMMISSION

1102 Q Street • Suite 3000 • Sacramento, CA 95811

July 3, 2019

Berman Obaldia  
2362 Maritime Drive, Suite 120  
Elk Grove, CA 95758

### **1<sup>st</sup> NOTICE OF DEFAULT DECISION AND ORDER**

**Re: FPPC No. 16/724, In the Matter of BFO & Associates and Berman Obaldia**

Dear Mr. Obaldia:

Please disregard our previous letter, dated June 4, 2019, regarding a notice for a default decision and order. The contents of this letter, dated July 3, 2019 supersedes the previous letter.

On May 6, 2019, you were served with an accusation in the above referenced matter. Pursuant to the Administrative Procedure Act, you were required to file a notice of defense within 15 days after service of the accusation to request an administrative hearing. You did not file a notice of defense. **As a result, you have waived your right to an administrative hearing.**<sup>1</sup>

The Fair Political Practices Commission (the "Commission") will proceed with a default, decision and order ("default") against you. The initial notice of this default will appear on the published agenda for the Commission's public meeting on July 18, 2019. This agenda will be public and you could be contacted by the media with questions. **The Commission will be asked to adopt the default at the subsequent public meeting on August 15, 2019 and impose an administrative penalty of \$19,000 against you.**

Following the issuance of the default, the Commission will obtain a judgment in superior court for the amount owed and then take action to collect the judgment. Please be advised that administrative penalties for violations of the Political Reform Act cannot be discharged in bankruptcy proceedings.

You may still resolve this matter informally by way of a stipulated settlement if an agreement can be reached prior to this matter appearing for consideration by the Commission.

---

<sup>1</sup> Government Code section 11505.

Please contact me at (916) 322-7771 or [ryang@fppc.ca.gov](mailto:ryang@fppc.ca.gov) if you wish to enter into a settlement to resolve this matter in its entirety.

Sincerely,

A handwritten signature in black ink, appearing to be 'Ruth Yang', written in a cursive style.

Ruth Yang  
Commission Counsel  
Enforcement Division



**Exhibit A-18**

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DEFAULT DECISION AND ORDER FPPC NO. 16/724



## FAIR POLITICAL PRACTICES COMMISSION

1102 Q Street • Suite 3000 • Sacramento, CA 95811

July 12, 2019

Berman Obaldia  
2362 Maritime Drive, Suite 120  
Elk Grove, CA 95758

### **NOTICE OF INTENT TO ENTER DEFAULT DECISION AND ORDER**

**Re: FPPC No. 16/724  
In the Matter of BFO & Associates and Berman Obaldia**

Dear Mr. Obaldia:

Enclosed please find a copy of the Default Decision and Order, and accompanying Exhibit and attachments, for the above-referenced matter. The Fair Political Practices Commission (the "Commission") will consider these papers at its public meeting on **August 15, 2019**, and decide whether to impose an administrative penalty of \$19,000 against you.

You were previously served a Report in Support of a Finding of Probable Cause, commonly known as a Probable Cause Report, advising you of your right to request a probable cause conference or submit a written response to the Probable Cause Report. You requested a probable cause conference and failed to make an appearance. You did not submit a written response to the Probable Cause Report.

Following the issuance of the Report in Support of a Finding of Probable Cause, the Commission's Hearing Officer found probable cause that you committed nine violations of the Political Reform Act. Thereafter, the Commission's Chief of Enforcement issued an Accusation against you on these violations. The Accusation was personally served on you on May 6, 2019. Under the law, you have therefore received adequate notice of these proceedings and the action filed against you. Under the Administrative Procedure Act, you were required to file your Notices of Defense within 15 days after service of the Accusation. You failed to file the Notice of Defense forms. As such, your right to an administrative hearing on this matter has been forfeited, and you are in a default position.

You may, but you are not required to, provide a response brief, along with any supporting materials, no later than five calendar days before the Commission hearing at which the default is scheduled to be heard. Your response brief must be served on the Commission Assistant, at the above address.

Following the issuance of the default order and imposition of the administrative penalty; we will commence legal proceedings to collect this fine, which may include converting the Commission's order to a court judgment. Please be advised that administrative penalties for violations of the Political Reform Act cannot be discharged in bankruptcy proceedings.

This letter is your last opportunity to resolve this matter informally by way of a stipulated settlement, before the default proceedings are commenced. If we do not reach a resolution, the enclosed documents will be placed on the Commission's agenda for the August 15, 2019 meeting. Please contact me at (916) 322-7771 if you wish to enter into a negotiated settlement.

Sincerely,



Ruth Yang  
Commission Counsel  
Enforcement Division

Enclosures