

REPORTING REQUIREMENTS

A. Overview

The Act requires slate mailer organizations to file periodic campaign statements that disclose:

- All payments received in connection with producing slate mailers;
- All payments made in connection with producing slate mailers; and
- The identity of each candidate or measure supported or opposed by each slate mailer.

Slate mailer organizations must file campaign statements at specified intervals. This chapter describes the purpose of each campaign statement, identifies the information each statement requires, and indicates when and where each statement must be filed. This chapter also reviews how to file and, when necessary, amend the four campaign disclosure reports filed by slate mailer organizations. A responsible officer of the slate mailer organization must always sign the verification section of each form. A form is not considered filed if it is not signed.

Campaign statements containing 30 pages or less may be faxed provided that the required original (a statement containing an original signature of the responsible officer) and the required copies are sent by first-class mail or by guaranteed overnight delivery service within 24 hours of the filing deadline.

Substantial civil and criminal penalties may result if campaign statements are not filed in compliance with the Act. In addition, late filing penalties of up to \$10 per day may be assessed if forms are not filed on time. Provisions do not exist for the extension of due dates.

B. Forms Filed by Slate Mailer Organizations

The following campaign forms are used by slate mailer organizations. Information about how to complete the forms and when and where to file the forms is provided below.

Form	Purpose
400 Statement of Organization (Slate Mailer Organization)	Used by individuals or entities that received or who are promised \$500 or more in a calendar year for the production of one or more slate mailers
401 Slate Mailer Organization Campaign Statement	Used to report payments made and received to produce slate mailers
402 Statement of Termination (Slate Mailer Organization)	Used by slate mailer organizations that are eligible to terminate their filing obligations
498 Slate Mailer Late Payment Report	Used to report a payment of \$2,500 or more received by the slate mailer organization in the 90 days immediately preceding the election for which the mailer was designed

C. When and Where to File Form 400

An individual or entity that qualifies as a slate mailer organization must file an original and one copy of the Form 400 (Statement of Organization) with the Secretary of State within 10 days. A copy of Form 400 must be filed with the local filing officer, if any, with whom the slate mailer organization will be required to file its original campaign statements.

Form 400 may be filed prior to receiving or being promised payments totaling \$500 or more. Enter “not yet qualified” in the “Date Qualified as a Slate Mailer Organization” box. When \$500 has been received, file an amended Form 400 indicating the date qualified.

The Secretary of State’s office will issue an identification number to the slate mailer organization upon receipt of the Form 400. This identification number must be included on all slate mailer campaign disclosure forms.

A slate mailer organization must file campaign disclosure statements until it no longer receives payments or makes disbursements in connection with the production of slate mailers. To terminate, the organization must file a Statement of Termination (Form 402). Form 402 is reviewed at the end of this chapter.

24-Hour Filing: If an entity qualifies as a slate mailer organization during the 16 days immediately preceding an election for which it would be required to file pre-election campaign statements, the slate mailer organization must file the Statement of Organization by fax, guaranteed overnight delivery, or personal delivery within 24 hours of qualification. The 24-hour statement must be sent to the Secretary of State and a copy to the local filing officer who will receive the organization’s original campaign statements.

Summary of Where to File Campaign Forms

Level of Activity	Form Number	Filing Location
State	400, 402	Secretary of State: original & one copy
	401, 498	Secretary of State: original & one copy; County of Domicile: two copies
County	400, 402	Secretary of State: original & one copy; County Elections: one copy
	401, 498	County Elections: original & one copy; County of Domicile, if different: two copies
City	400, 402	Secretary of State: original & one copy; City Clerk: one copy
	401, 498	City Clerk: original & one copy

D. Amending Form 400

If any information on a Statement of Organization changes, the committee must file an amendment within 10 days of the change. The amended Form 400 must be sent to the Secretary of State and the local filing officer, if any, with whom the slate mailer organization is required to file the originals of its campaign statements and must include:

- The slate mailer organization's name and identification number in the spaces provided;
- The "Amendment" box checked at the top of the form; and
- The amended information.

24-Hour Amendment: If, during the 16 days prior to an election in connection with which a slate mailer organization is required to file pre-election statements, there is a change in:

- The name of the slate mailer organization;
- The organization's treasurer or other principal officers; or
- The name of any person who authorizes the content of a slate mailer.

An amendment must be filed by fax, guaranteed overnight delivery, or personal delivery within 24 hours to report these changes. The amendment must be filed with the filing officer with whom the organization files the originals of its campaign statements.

Ex 3.1 –First & Best Slate Mailers changed two of its principal officers. The slate mailer organization must provide the required information about the new officers on an amended Form 400 within 10 days of the change.

**Statement of Organization
(Slate Mailer Organization)**

(Government Code Sections 84100, 84101, 84103, 84104, 84108)

Type or Print in Ink

STATEMENT OF ORGANIZATION

Amendment
 Check box if an Amendment and enter I.D. number:
 # _____
Date qualified as a Slate Mailer Organization:
 (Month, Day, Year)
 1/10/XX

Date Stamp

CALIFORNIA FORM 400
 For Official Use Only

1 Please check one box to indicate the organization's level of activity:

<input type="checkbox"/> CITY	File original and one copy of this form with: Secretary of State Political Reform Division 1500 11th Street, Room 495 Sacramento, CA 95814	And, if applicable, file one copy of this form with: The city or county officer, if any, with whom the organization must file its original campaign disclosure statements.
<input checked="" type="checkbox"/> STATE		
<input type="checkbox"/> COUNTY		

2 Slate Mailer Organization Information

FULL NAME OF SLATE MAILER ORGANIZATION:
 First & Best Slate Mailers

STREET ADDRESS OF SLATE MAILER ORGANIZATION: (NO AND STREET)
 2001 Redwood Street

CITY	STATE	ZIP CODE	COUNTY	AREA CODE	PHONE NUMBER
Sacramento	CA	95825	Sacramento	916	222-1111

OPTIONAL: FAX / E-MAIL ADDRESS

MAILING ADDRESS OF FILER (IF DIFFERENT THAN ABOVE):
 P.O. Box 1996, Sacramento, CA 95899

A OFFICIAL USE ONLY **B** OFFICIAL USE ONLY

3 Treasurer And Other Principal Officers

POSITION	NAME AND PERMANENT ADDRESS	(AREA CODE) DAYTIME PHONE NO.
TREASURER	Sam Periwinkle, 100 B Street, Sacramento, CA 95815	916-222-1010
President	Ginger First, 999 Viceroy Avenue, Sacramento, CA 95835	916-222-4444
Vice-President	Colleen Best, 608 Southland Street, Sacramento, CA 95817	916-222-8888

E. Completing Form 400

1 Level of Activity

State

If the organization produces one or more slate mailers supporting or opposing candidates or measures being voted upon in a state election, or in more than one county, check the “state” box.

County

If slate mailers are produced which support or oppose candidates or measures being voted upon in one county, or more than one city within one county, check the “county” box.

City

If slate mailers are produced which support or oppose candidates or measures being voted upon in one city, check the “city” box.

Date Qualified as a Slate Mailer Organization

The date qualified is the date the organization received or was promised payments totaling \$500 or more in a calendar year for the production of one or more slate mailers.

2 Slate Mailer Organization Information

Provide the organization's full name and street address. A post office box may be used as a mailing address. The organization may have more than one mailing address.

When an individual or business entity qualifies as a slate mailer organization, its name must include the name by which the individual or entity is identified for legal purposes.

3 Treasurer and Other Principal Officers

A slate mailer organization must have a treasurer. The treasurer's name, home or business address, and a phone number where the treasurer can be reached during business hours must be listed. In addition, the Form 400 must identify any other individual who has final decision making authority as to which candidates or measures will be supported or opposed. If the organization has principal officers other than the treasurer, such as a president, secretary, or chairperson, they must also be identified.

4 Individuals Who Authorize Contents of Slate Mailers

List the full name, street address, and business telephone number of each individual with final decision making authority as to which candidates or measures will be supported or opposed in the organization's slate mailers.

5 Is This Organization a "Committee" Pursuant to Government Code Section 82013?

If the slate mailer organization is also a committee, check "yes." Provide the name and identification number, if any, of the committee.

6 Verification

The statement must be signed and verified by a responsible officer of the slate mailer organization.

**Statement of Organization
(Slate Mailer Organization)**

(Government Code Sections 84100, 84101, 84103, 84104, 84108)

Type or Print in Ink

STATEMENT OF ORGANIZATION

**CALIFORNIA
FORM 400**

Page 2

FULL NAME OF SLATE MAILER ORGANIZATION:

First & Best Slate Mailers

4 Individuals Who Authorize Contents Of Slate Mailers (See instructions on reverse)

FULL NAME	ADDRESS (NO. AND STREET, CITY, STATE, ZIP CODE)	(AREA CODE) DAYTIME PHONE NO.
Ginger First	999 Viceroy Avenue, Sacramento, CA 95835	916-222-4444

Attach additional information on appropriately labeled continuation sheets.

5 IV Is This Organization A "Committee" Pursuant To Government Code Section 82013?

YES (PROVIDE THE NAME AND, IF RECIPIENT COMMITTEE, THE IDENTIFICATION NUMBER OF THE COMMITTEE.) NO

NAME _____ ID NO. _____

6 V Verification

I have used all reasonable diligence in preparing this statement. I have reviewed the 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 X/XX/XX At Sacramento, CA By [Signature Required]
DATE CITY AND STATE SIGNATURE OF RESPONSIBLE OFFICER

Name of Responsible Officer Ginger First Title President
TYPE OR PRINT

F. Form 401 – Campaign Statement

Form 401 is used to report payments received and made by a slate mailer organization. Form 401 must be filed if the organization produces one or more slate mailers and:

- Receives or is promised \$500 or more in a calendar year; or
- Makes payments of \$500 or more in a calendar year.

G. When to File Form 401

Semi-Annual Statements

Slate mailer organizations must file a semi-annual statement for each half of the year. Semi-annual statements are due on July 31 and January 31, with closing dates of June 30 and December 31 respectively. The period covered by any statement begins on the day after the closing date of the last statement filed, or January 1, if no previous statement has been filed. These statements are required even if the organization has no activity.

Pre-Election Statements

In addition to semi-annual statements, slate mailer organizations must file pre-election statements in connection with a specific election if the organization:

- Produces one or more slate mailers supporting or opposing candidates or measures being voted upon in an election, and
- Receives payments totaling \$500 or more or makes payments totaling \$500 or more during the period covered by the pre-election statement for the purpose of producing slate mailers.

Refer to the FPPC's website for filing deadlines.

If the slate mailer organization receives payments in connection with a local election, use the filing schedule for that particular election to determine the deadlines for filing pre-election statements.

If a state special election is held during the year, review the filing schedule for that election to determine the deadlines for additional statements that are required.

H. Where to File Form 401

“State” Slate Mailer Organizations

Slate mailer organizations which produce one or more slate mailers supporting or opposing candidates or measures being voted upon in a state election, or in more than one county must file:

- The original and one copy of the Form 401 with the Secretary of State; and
- Two copies of the Form 401 with the clerk of the county in which the slate mailer organization is domiciled.

These reports must be filed on paper by personal delivery or first class mail. An organization that is required to file electronically (see “Electronic Filing” below) must also file an electronic report.

“County” Slate Mailer Organizations

Slate mailer organizations which produce one or more slate mailers supporting or opposing candidates or measures voted on in a single county, or in more than one jurisdiction within a single county, must file:

- The original and one copy of the Form 401 with the clerk of the county in which the candidates or measures are being voted upon; and
- Two copies of the Form 401 with the clerk of the county in which the organization is domiciled, if different than the county in which the election is being held.

“City” Slate Mailer Organizations

Slate mailer organizations which produce one or more slate mailers supporting or opposing candidates or measures voted on in only one city must file:

- The original and one copy of the Form 401 with the clerk of the city in which the candidates or measures are being voted upon.

Quick Tip

A state slate mailer organization that also produces slate mailers in connection with city or county elections is not required to file additional reports as a county or city slate mailer organization. However, if a slate mailer organization is initially required to file as a county or city slate mailer organization and later during the calendar year it qualifies as another type of slate mailer organization, it must continue to file copies of its campaign statements in the original city or county (in addition to the other locations in which it is required to file) until the end of the calendar year.

Electronic Filing

Organizations that are required to file reports with the Secretary of State must file electronically if they have received or made payments totaling \$25,000 or more for the purpose of producing slate mailers. Paper reports are also required, except for Form 498. Some local jurisdictions require reports to be filed electronically. Check with the local elections office.

Slate Mailer Organization Campaign Statement		Type or print in ink.		Date Stamp	COVER PAGE
(Government Code Sections 84218 - 84219)					CALIFORNIA FORM 401
SEE INSTRUCTIONS ON REVERSE		Statement covers period		Page <u>1</u> of <u>6</u>	
<input type="checkbox"/> Amendment (explain): _____		from <u>X/XX/XX</u>		For Official Use Only	
		through <u>X/XX/XX</u>			
1 Slate Mailer Organization Information		2 II Is This A General Purpose Committee?			
FULL NAME OF SLATE MAILER ORGANIZATION: First & Best Slate Mailers		ID NUMBER 59064XX			
ADDRESS NO. AND STREET 2001 Redwood Street					
CITY	STATE	ZIP CODE	PHONE NUMBER		
Sacramento	CA	95825	(916) 222-1111		
NAME OF TREASURER Sam Periwinkle					
ADDRESS NO. AND STREET 100 B Street					
CITY	STATE	ZIP CODE	DAYTIME PHONE NUMBER		
Sacramento	CA	95815	(916) 222-1010		
3 Summary of Payments		(A) Total This Period		(B) Cumulative to Date (Since January 1 of calendar year covered)	
1. TOTAL PAYMENTS RECEIVED		\$ 55,500		\$ 235,068	
		Sch. A, Line 3			
2. TOTAL PAYMENTS MADE		\$ 14,000		\$ 198,757	
		Sch. B, Line 3			
4 Verification					
I have used all reasonable diligence in preparing and reviewing this statement 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 <u>X/XX/XX</u>		At <u>Sacramento, CA</u>		By _____ [Signature Required]	
DATE		CITY AND STATE		SIGNATURE OF RESPONSIBLE OFFICER	
Name of Responsible Officer <u>Ginger First</u>		Title _____		President	
TYPE OR PRINT					

I. Completing Form 401 Cover Page

Amendments

To amend a previously filed statement, check the Amendment box, give a brief explanation of the amendment, and list the schedules being amended. Complete Part 3, if applicable. Be sure to enter the period covered by the statement being amended.

Period Covered

The period a campaign statement covers – whether a pre-election or a semi-annual – begins on the closing date of the most recently filed campaign statement. The period for the first statement filed begins on January 1 of the year for which the statement is filed. Refer to the filing schedules on the FPPC’s website for specific dates.

1 Slate Mailer Organization Information

The information disclosed in Part I must correspond to the information disclosed on the slate mailer organization’s Statement of Organization, Form 400.

2 Committee Campaign Statements

If the slate mailer organization is also a recipient committee, independent expenditure committee, or major donor committee, attach the most recently filed committee campaign statement (Form 450, 460 or 461). If the organization is a recipient committee, enter the committee’s ID Number.

3 Summary of Payments

Report total payments received and total payments made in connection with producing slate mailers for both the period covered by the statement and since January 1 of the calendar year covered.

Total Payments Received (Line 1)

In Column A, enter the total payments received during the period covered by the statement for the production and distribution of slate mailers. This should be the same as the amount on Line 3 of the Summary section of Schedule A. In Column B, enter the cumulative amount of payments received since January 1 of the calendar year covered by the statement for the production and distribution of slate mailers.

Total Payments Made (Line 2)

In Column A, enter the total amount of payments made during the period covered by the statement for the production and distribution of slate mailers. This should be the same as the amount on Line 3 of the Summary section of Schedule B. In Column B, enter the cumulative amount of payments made since January 1 of the calendar year covered by the statement for the production and distribution of slate mailers.

4 Verification

If the filer is an individual, he or she must sign the statement. If the filer is an entity or other organization, a responsible officer of the entity or organization, or an attorney or certified public accountant acting as the entity's or organization's agent, must sign the statement.

**Schedule A
Payments Received**

SCHEDULE A

Statement covers period from <u>X/XX/XX</u> through <u>X/XX/XX</u>		CALIFORNIA FORM 401
Page <u>2</u> of <u>6</u>		
NAME OF SLATE MAILER ORGANIZATION First & Best Slate Mailers		I.D. NUMBER 59064XX

SEE INSTRUCTIONS ON REVERSE

NAME OF SLATE MAILER ORGANIZATION

First & Best Slate Mailers

(1)	(2)	(3)		(4)	(5)	
DATE RECEIVED	IDENTIFICATION OF PERSONS FROM WHOM \$100 OR MORE HAS BEEN RECEIVED THIS PERIOD (SEE IMPORTANT INSTRUCTIONS ON REVERSE)	(a) NAME, OFFICE SOUGHT, AND JURISDICTION OF CANDIDATE/ NAME, JURISDICTION, AND NUMBER OR LETTER OF BALLOT MEASURE SUPPORTED OR OPPOSED (IF DIFFERENT THAN COLUMN 2)	(b) CHECK BOX TO INDICATE IF PAYMENT WAS RECEIVED TO SUPPORT OR OPPOSE CANDIDATE OR MEASURE INCLUDED IN SLATE MAILER		AMOUNT RECEIVED THIS PERIOD	CUMULATIVE AMOUNT RECEIVED SINCE JANUARY 1 PER CANDIDATE OR MEASURE
			SUPPORT	OPPOSE		
5/25/XX	Loren Chu for Governor 2018 428 Front St., Sac, CA 95814 ID 13447XX		<input checked="" type="checkbox"/>	<input type="checkbox"/>	50,000	50,000
6/1/XX	ABC Trade Association 22 Main Street Sacramento, CA 95814	Jane Smith, Assembly District 2, State	<input checked="" type="checkbox"/>	<input type="checkbox"/>	5,000	5,000
6/30/XX	Gallagher for Judge 1200 8th St., L.A., CA 90010 ID 12223XX		<input checked="" type="checkbox"/>	<input type="checkbox"/>	500	500
Summary				SUBTOTAL	\$ 55,500	

1. Amount Received – Itemized payments (include all Schedule A subtotals)	\$ 55,500
2. Amount Received – Payments of less than \$100 (not itemized)	\$ 0
3. Total Payments Received (Line 1 + Line 2). Enter here and in Column A, Line 1, of the Summary of Payments section on Page 1	\$ 55,500

J. Completing Form 401 Schedule A – Payments Received

Report on Schedule A all payments received in connection with producing slate mailers. Payments of \$100 or more received during the period from a single source must be itemized.

If payments received from a single source during the period covered by the statement total \$100 or more, provide the following information:

- The date received.
- If payments of \$100 or more were received during the period from candidates and committees, include:

- The name and street address of the candidate or committee.
 - The committee's identification number if the payment was received from a committee.
 - The jurisdiction and office sought or held by the candidate or officeholder making the payment, or
 - The jurisdiction and ballot letter or number if paid by a committee formed to support or oppose a ballot measure.
- If payments of \$100 or more were received during the period from persons other than a candidate or committee, Column (2) must include the full name and street address of the payor. If the payor is an individual, also report the name of the individual's employer or, if self-employed, the name of the business.
 - If payments of \$100 or more were received during the period from persons other than the candidate supported or opposed in a slate mailer, or other than the committee primarily formed to support or oppose a ballot measure, Column (3) must include:
 - The name, office sought, and jurisdiction of the candidate supported or opposed, or the name, jurisdiction, and number or letter of the ballot measure supported or opposed (Column (a)); and
 - An indication whether the payment received was in support of or opposition to the candidate or measure (Column (b)).
 - The amount received during the period covered by the report from each payor.
 - The cumulative amount of payments received from each payor on behalf of or in opposition to each candidate or measure included in a slate mailer since January 1 of the calendar year covered by the statement.

Quick Tip

If a slate mailer organization receives a payment of \$2,500 or more from a single source for the purpose of supporting or opposing any candidate or ballot measure in a slate mailer during the 90 days prior to an election, the Form 498 must be filed within 24 hours.

Summarize at the bottom of Schedule A all payments received during the period for production and distribution of slate mailers. Payments of less than \$100 need only be reported as a lump sum amount.

**Schedule B
Payments Made**

Statement covers period from <u> X/XX/XX </u>	CALIFORNIA FORM 401
through <u> X/XX/XX </u>	
Page <u> 3 </u> of <u> 6 </u>	
I.D. NUMBER 59064XX	

SEE INSTRUCTIONS ON REVERSE
NAME OF SLATE MAILER ORGANIZATION
First & Best Slate Mailers

NAME AND STREET ADDRESS OF PAYEE	DESCRIPTION OF PAYMENT	AMOUNT PAID
ABC Communications 44 - 9th Street Sacramento, CA 95814	Consulting Services	10,000
Westly Research 10 Second Street Los Angeles, CA 91300	Survey Material	4,000
SUBTOTAL		\$ 14,000

Summary

1. Payments of \$100 or more (include all Schedule B subtotals)	\$ 14,000
2. Payments under \$100 this period (not itemized)	\$ 0
3. Total payments this period (Line 1 + Line 2). Enter here and in Column A, Line 2, of the Summary of Payments section on Page 1	\$ 14,000

K. Completing Form 401 Schedule B – Payments Made

Report on Schedule B all payments made in connection with producing and distributing slate mailers. Each payment of \$100 or more made during the period covered by the statement must be itemized, including the name and street address of the payee, a description of the payment, and the amount paid.

In the Summary section, report all payments made to persons in connection with the slate mailers; a lump sum amount is reported for payments of less than \$100 during the period.

**Schedule B-1
Payments Made By An Agent or
Independent Contractor on Behalf of
A Slate Mailer Organization**

SCHEDULE B-1

Statement covers period from X/XX/XX through X/XX/XX	CALIFORNIA FORM 401
	Page 4 of 6
	I.D. NUMBER 59064XX

NAME OF SLATE MAILER ORGANIZATION

ABC Communications

NAME OF AGENT OR INDEPENDENT CONTRACTOR

NAME AND STREET ADDRESS OF PAYEE	DESCRIPTION OF PAYMENT	AMOUNT PAID
Mary Ann's Color Photography 600 Broadway Sacramento, CA 95819	Photography	\$2,000
Campaign Plus 22 - 21st Street Sacramento, CA 95814	Accounting/Campaign Filing	\$1,200
	TOTAL*	\$3,200

*Do not transfer to any other schedule or to the Summary. This total may not equal the amount paid to the agent or independent contractor as reported on Schedule B by the Slate Mailer Organization.

L. Completing Form 401 Schedule B-1 – Payments Made by Agents or Independent Contractors

When an agent or independent contractor makes expenditures of \$500 or more on behalf of a slate mailer organization, report the expenditures in the same detail as if made directly by the organization.

Payments of \$500 or more made by the agent or independent contractor may be reported on either Schedule B or Schedule B-1. Information required to be disclosed includes:

- The full name and street address of each vendor who was paid \$500 or more;
- The amount paid to each vendor during the period; and
- A brief description of the product(s) or service(s) received.

When reporting a payment by an agent or independent contractor on Schedule B-1, also report on Schedule B the amount paid to the agent or independent contractor.

Quick Tip

Payments made by the agent or independent contractor for his/her own overhead and operating expenses are not required to be reported by the organization.

**Schedule C
Persons Receiving
\$1000 or More**

SCHEDULE C

Statement covers period from <u> X/XX/XX </u> through <u> X/XX/XX </u>	CALIFORNIA FORM 401
	Page <u> 5 </u> of <u> 6 </u>
	I.D. NUMBER 59064XX

SEE INSTRUCTIONS ON REVERSE
NAME OF SLATE MAILER ORGANIZATION
First & Best Slate Mailers

You must identify each individual listed on your Statement of Organization (Form 400) who received, directly or indirectly, \$1,000 or more from the organization during the period. (See instructions on reverse regarding "indirect" payments.)

NAMES OF INDIVIDUALS RECEIVING \$1,000 OR MORE	AMOUNT THIS PERIOD	CUMULATIVE SINCE JANUARY 1
Ginger First	0	4,260

M. Completing Form 401 Schedule C – Persons Receiving \$1,000 or More

All payments of \$1,000 or more received directly or indirectly by individuals who are listed on the slate mailer organization’s Statement of Organization, including the treasurer, other principal officers, and individuals who have final decision making authority as to which candidates or measures will be supported or opposed in the organization’s slate mailers, must be reported on Schedule C. Only individuals who are listed on the Statement of Organization are reported on Schedule C.

A payment is made “indirectly” to an individual if it is intended for the benefit of or use by that individual or a member of his or her immediate family. In addition, a payment is made “indirectly” to an individual if it is made to a business entity in which the individual or a member of his or her immediate family is a partner, shareholder, owner, director, trustee, officer, employee or consultant, or holds any position of management. A payment is also made “indirectly” if the payment is made to a business entity in which the individual or a member of his or her immediate family has an investment of \$1,000 or more, excluding a business entity whose securities are publicly traded.

“Indirect” payments also include rebates or refunds paid to an individual listed on the Form 400 from vendors or other subcontractors who received payments from the organization.

Payments of \$1,000 or more must be itemized, including the individual's full name, the amount of direct and indirect payments made during the period covered by the statement, and the cumulative amount of direct and indirect payments made to the individual since January 1 of the calendar year covered by the statement.

**Schedule D
Candidates and Measures
Not Listed on Schedule A**

SCHEDULE D

Statement covers period from <u> X/XX/XX </u>	CALIFORNIA FORM 401
through <u> X/XX/XX </u>	
Page <u> 6 </u> of <u> 6 </u>	
I.D. NUMBER 59064XX	

SEE INSTRUCTIONS ON REVERSE

NAME OF SLATE MAILER ORGANIZATION

First & Best Slate Mailers

You must identify each candidate and measure supported or opposed in a slate mailer sent by you during the period for which you did not receive a payment of \$100 or more (either from the candidate or ballot measure committee or from any other person).

NAME OF CANDIDATE OR MEASURE	CHECK ONE		JURISDICTION AND OFFICE SOUGHT BY CANDIDATE; OR JURISDICTION AND BALLOT MEASURE LETTER OR NUMBER
	SUPPORT	OPPOSE	
CA Clean Air For All, Yes on Prop. 60	✓		State/Proposition 60
Barry Herringbone	✓		State Assembly, AD 80
Susan Bean		✓	City Council, City of Turlock
Jerry Goldbar		✓	Supervisor, Alpine County

N. Completing Form 401 Schedule D – Candidates and Measures Not Listed on Schedule A

Schedule D is used to disclose candidates and measures supported or opposed in the organization's slate mailer for which the organization did not receive a payment from the candidate or a committee formed to support or oppose the candidate or measure, or from any other person.

For each such candidate or measure, provide the following information:

- The name of the candidate or measure;
- An indication whether the candidate or measure was supported in a slate mailer or was opposed in a slate mailer; and
- The jurisdiction and office sought by the candidate, or the jurisdiction and ballot measure letter or number.

O. Form 498 – Late Payment Report

Form 498, Late Payment Report, is required when a slate mailer organization receives any payment of \$2,500 or more from a single source for the purpose of supporting or opposing any candidate or ballot measure in a slate mailer, and the payment is received during the 90 days prior to or on the date of an election in which the candidate or measure supported or opposed by the slate mailer is being voted upon.

Form 498 must be filed by fax, email, guaranteed overnight delivery service, or personal delivery within 24 hours of receiving the payment. Regular mail may not be used. The report must be filed with each filing officer with whom the organization files its regular campaign statements.

Quick Tip

Deadlines are extended when they fall on a Saturday, Sunday, or an official state holiday. This extension does not apply to a Form 498 that is due the weekend before the election. Such reports must be filed within 24 hours regardless of the day of the week. Statements filed after the deadline are subject to a \$10 per day late fine.

Slate Mailer
498 Late Payment Report

Amounts may be rounded to whole dollars.

Date Stamp

CALIFORNIA FORM 498
For Official Use Only

Amendment No. _____

Report No. _____ 1 _____

1 NAME OF SLATE MAILER ORGANIZATION: First & Best Slate Mailers
STREET ADDRESS: 2001 Redwood Street
AREA CODE/PHONE NUMBER: (916) 222-1111
OPTIONAL: FAX/E-MAIL: _____
I.D. NUMBER: 59064XX
CITY: Sacramento
STATE: CA
ZIP CODE: 95825

2 Late Payment(s) Received From:
NAME: Jose Lopez for Assembly 20XX
I.D. NUMBER (if applicable): 14455XX
ADDRESS: 1 Hollywood Street
CITY: Los Angeles
STATE: CA
ZIP CODE: 90048
OCCUPATION/EMPLOYER OR NAME OF BUSINESS IF SELF-EMPLOYED (if applicable): _____
DATE RECEIVED: X / XX / XX
AMOUNT: \$ 6,066

NAME OF CANDIDATE OR BALLOT MEASURE: Jose Lopez
 SUPPORT
 OPPOSE
OFFICE SOUGHT AND JURISDICTION OF THE CANDIDATE/BALLOT MEASURE'S JURISDICTION: Assembly District 10
AMOUNT ATTRIBUTED: \$ 6,066

NAME OF CANDIDATE OR BALLOT MEASURE: _____
 SUPPORT
 OPPOSE
OFFICE SOUGHT AND JURISDICTION OF THE CANDIDATE/BALLOT MEASURE'S JURISDICTION: _____
AMOUNT ATTRIBUTED: \$ _____

P. Completing Form 498

1 Filer Information

Provide the full name, street address, and telephone number of the slate mailer organization. Enter the organization's identification number.

2 Late Payment Received From

Report the following for each late payment received:

- The payor's full name and street address. If the payor is an individual, report the payor's occupation and employer, or, if self-employed, report the name of the payor's business;
- The date the payment was received;
- The amount of the payment;
- The name of the candidate or ballot measure being supported or opposed by the late payment;
- The office sought and jurisdiction of each candidate being supported or opposed;
- The jurisdiction of each ballot measure being supported or opposed; and
- The amount attributed to each candidate or ballot measure.

Quick Tip

Late payments must also be reported on the next regular Slate Mailer Organization Campaign Statement (Form 401) filed.

**Statement of Termination
(Slate Mailer Organization)**
(Government Code Section 84221)

Type or Print in Ink

Date Stamp

**CALIFORNIA
FORM 402**

For Official Use Only

File an original and one copy of this form with:

Secretary of State
Political Reform Division
1500 11th Street, Room 495
Sacramento, CA 95814

And, if applicable, file one copy of this form with:

The city or county filing officer, if any, with whom the organization must file its original campaign disclosure statements.

FULL NAME OF SLATE MAILER ORGANIZATION: First & Best Slate Mailers			ID NUMBER 59064XX	NAME OF TREASURER: Sam Periwinkle		
STREET ADDRESS: (NOT P.O. BOX) 2001 Redwood Street			NO. AND STREET	PERMANENT ADDRESS OF TREASURER: (NOT P.O. BOX) 100 B Street		
CITY Sacramento	STATE CA	ZIP CODE 95825		CITY Sacramento	STATE CA	ZIP CODE 95815
AREA CODE (916)	PHONE NO. 222-1111			AREA CODE (916)	DAYTIME PHONE NO. 222-1010	

Verification

I have used all reasonable diligence in preparing this Statement. This Slate Mailer Organization has ceased to receive payments and make disbursements in connection with producing "slate mailers," does not anticipate receiving payments or making disbursements in the future, and has filed all campaign statements required by the Political Reform Act disclosing all reportable transactions. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on X/XX/XX At Sacramento, CA By [Signature Required]
DATE CITY AND STATE SIGNATURE OF RESPONSIBLE OFFICER

Name of Responsible Officer Ginger First Title President
TYPE OR PRINT

NOTE: Additional filing obligations will be incurred if a Slate Mailer Organization receives payments or makes disbursements after this Statement of Termination has been filed.

Q. Form 402 – Statement of Termination

Form 402 is used by all slate mailer organizations that are eligible to terminate their filing obligations. Slate mailer organizations do not automatically terminate.

File Form 402, Statement of Termination, to discontinue campaign filing obligations. The one-page form is signed by a responsible officer who verifies that the organization has met the termination requirements.

A slate mailer organization may terminate if all of the following criteria are met:

- The organization has ceased to receive payments or make disbursements for the purpose of producing and distributing slate mailers;

- The organization does not anticipate receiving payments or making disbursements for the purpose of producing and distributing slate mailers in the future; and
- All required campaign statements disclosing all reportable transactions have been filed.

The Form 402 has no deadline for filing. However, until Form 402 is filed, a slate mailer organization must continue filing campaign statements.

Additional filing obligations will be incurred if a slate mailer organization receives payments or make disbursements in connection with a slate mailer after a Form 402 has been filed.

File Form 402 with the Secretary of State and, if applicable, a copy with the local filing officer with whom the organization files its original disclosure statements.

Answering Your Questions

- A. What are the reporting obligations if a slate mailer organization receives funds and makes expenditures for communications that are not considered “slate mail” under the Act?**

Reporting obligations will depend on the specific facts. Contact the FPPC for advice.

- B. If a political club’s slate mailers support candidates for the State Legislature, does the Act require the club to file its campaign statements as though it is a state committee?**

Yes. Slate mailer organizations that produce slate mailers supporting or opposing state candidates must file in the same manner as state general purpose committees.

- C. May a political consulting firm, which is a sole proprietorship and whose owner serves as a member of the slate mailer organization’s endorsement committee, be paid by the organization for management services? If so, how is this reported?**

The Act does not prohibit a slate mailer organization from paying a consultant for management services. Such payments would be disclosed on Schedule B and, if applicable, Schedule C of Form 401.

D. Which individuals must be listed as officers for the slate mailer organization?

Individuals who have decision making authority as to which candidates or measures will be supported or opposed in the organization's slate mailers must be listed in Part III of the organization's Statement of Organization, Form 400.

E. If a slate mailer organization receives \$500 or more for producing a slate mailer during the first pre-election period, but it does not produce or contract for production of the slate mailer prior to the closing date of the period, is the organization required to file the first pre-election statement?

Yes, the slate mailer organization must file the first pre-election statement.

Authority

The following Government Code sections and Title 2 regulations provide authority for the information in this chapter:

Government Code Sections

- 81004 Reports and Statements; Perjury; Verification.
- 81004.5 Reports and Statements; Amendments.
- 81007 Mailing of Report or Statement.
- 82027.5 General Purpose Committee.
- 82031 Independent Expenditure.
- 82036 Late Contribution.
- 82044 Payment.
- 82046 Period Covered.
- 82048.3 Slate Mailer.
- 82048.4 Slate Mailer Organization.
- 84108 Slate Mailer Organization; Statement of Organization.
- 84215 Campaign Reports and Statements; Where to File.
- 84218 Slate Mailer Organization; Campaign Statements.
- 84219 Slate Mailer Organization; Semi-Annual Statements; Contents.
- 84220 Slate Mailer Organization; Late Payments.
- 84221 Slate Mailer Organization; Termination.
- 84605 Who Shall File Online.
- 84615 Campaign Reports and Statements - Electronic Filing for Local Agencies.

Title 2 Regulations

- 18116 Reports and Statements; Filing Dates.
- 18215 Contribution.
- 18225 Expenditure.
- 18227.5 General Purpose Committees.
- 18402.1 Principal Officers.
- 18465.1 Verification of Online Filers.