



## FAIR POLITICAL PRACTICES COMMISSION

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March 5, 2014

Senator Carol J. Liu  
Carol Liu for Senate 2012 (1313880)

**REDACTED**

**Warning Letter Re: FPPC Case No. 140106; Carol J. Liu / Carol Liu for Senate 2012**

Dear Senator Liu:

The Fair Political Practices Commission (the "FPPC") enforces the provisions of the Political Reform Act (the "Act"),<sup>1</sup> found in Government Code section 81000, et seq. This letter is in response to an audit report referred to us by the Franchise Tax Board. The audit covered the period January 1, 2009 through December 31, 2012. A copy of the audit report is enclosed for your information.

The audit found that the contribution limits were exceeded by \$5,600 for contributions received from two contributors in connection with the 2012 General election. Section 85301 of the Act limits the amount of contributions per election that a candidate may accept from "persons." Section 83124 provides for a biennial adjustment of the limit amounts. The limit, as adjusted for the 2011/2012 election cycle was \$3,900.

The amount received in excess of the contribution limits was not large and the excess amounts were refunded after the issue was identified during the audit. Therefore, we have decided to close this case with a warning letter.

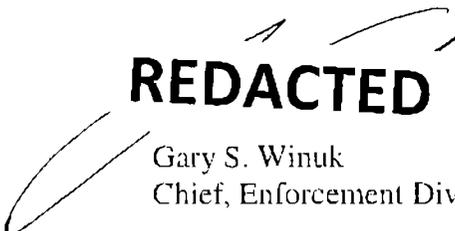
This letter serves as a written warning. The information in this matter will be retained and may be considered should an enforcement action become necessary based on newly discovered information or future conduct. Failure to comply with the provisions of the Act in the future will result in monetary penalties of up to \$5,000 for each violation.

<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 are contained in Sections 18110 through 18997 of Title 2 of the California Code of Regulations. All regulatory references are to Title 2, Division 6 of the California Code of Regulations, unless otherwise indicated.

A warning letter is an FPPC case resolution without administrative prosecution or fine. However, the warning letter resolution does not provide you with the opportunity for a probable cause hearing or hearing before an Administrative Law Judge or the FPPC. If you wish to avail yourself of these proceedings by requesting that your case proceed with prosecution rather than a warning, please notify us within ten (10) days from the date of this letter. Upon this notification, the FPPC will rescind this warning letter and proceed with administrative prosecution of this case. If we do not receive such notification, this warning letter will be posted on the FPPC's website ten (10) days from the date of this letter.

Please feel free to contact Program Specialist Robert Perna with any questions you may have regarding this letter.

Sincerely,



**REDACTED**

Gary S. Winuk  
Chief, Enforcement Division

Enclosure