



FAIR POLITICAL PRACTICES COMMISSION

428 J Street • Suite 620 • Sacramento, CA 95814-2329

(916) 322-5660 • Fax (916) 322-0886

June 10, 2013

Mr. David J. Beach
Loomis Sayles & Company

REDACTED

Warning Letter Re: FPPC No. 13/0135, David J. Beach

Dear Mr. Beach:

The Fair Political Practices Commission (the "FPPC") enforces the provisions of the Political Reform Act (the "Act"),¹ found in Government Code section 81000, et seq. This letter is in response to a non-filer referral from the California Secretary of State which alleged you violated the Act's lobbying reporting provisions.

The FPPC has completed its investigation of the facts in this case. Specifically, the FPPC found that you failed to timely file Form 615s for the following quarters:

- January 1, 2012 through March 31, 2012
- April 1, 2012 through June 30, 2012
- July 1, 2012 through September 30, 2012
- October 1, 2012 through December 31, 2012

Section 86113 of the Act provides that lobbyists must file periodic reports. Section 82039 of the Act defines a lobbyist as "[a]ny individual who receives two thousand dollars (\$2,000) or more in economic consideration in a calendar month, other than reimbursement for reasonable travel expenses, or whose principal duties as an employee are, to communicate directly or through his or her agents with any elective state official, agency official, or legislative official for the purpose of influencing legislative or administrative action." Under Section 86117, subdivision (a), these reports shall be filed during the month following each calendar quarter by submitting a completed Form 615 to the California Secretary of State.

¹ 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.

Under Section 84605, specific persons/entities are required to file electronic statements with the SOS; this includes any lobbyist, lobbying firm, or lobbyist employer that/who has exceeded thousand five hundred dollars (\$2,500) or more in a calendar quarter under any category of reportable payments, expenses, contributions, gifts, or other items. (§ 84605 (a)(4).) Additionally, once a party voluntarily files online, they are required to file all subsequent reports online. (§84605 (d).)

Your actions violated the Act because you failed to electronically file the aforementioned report(s) by the specified deadlines. However, since you do not have a history of violating the Act, we are closing your case with this warning letter. 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.

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 Fair Political Practices Commission. 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.

The FPPC publishes forms and manuals to facilitate compliance with the provisions of the Act. If you need any of these publications, or guidance regarding your obligations, please call the FPPC's Technical Assistance Division at (866) 275-3772 or visit our website at www.fppc.ca.gov.

If you have further questions regarding this letter, please contact Robert Binning at (916) 323-2689.

Sincerely,

REDACTED

Gary S. Winuk
Chief, Enforcement Division

cc: Chris Reynolds, Chief
California Secretary of State
Political Reform Division

GSW:tf:rb