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

September 7, 2011

Gordon Lum
REDACTED

Warning Letter Re: FPPC No. 11/571; Gordon Lum

Dear Mr. Lum:

The Fair Political Practices Commission ("FPPC") enforces the provisions of the Political Reform Act ("Act"),[1] found in Government Code section 81000, et seq. This letter is in response to a non-filer referral from the Oakland Office of the City Clerk that alleged you violated the Act's disclosure provisions regarding filing your Statement(s) of Economic Interest (SEI).

The FPPC has completed its investigation of the facts in this case. Specifically, the FPPC found that you violated the Act's disclosure provisions when, as a former employee for the City of Oakland, you failed to properly file your 2009 Annual and Leaving Office SEI.

Section 87200 of the Act requires certain public official to disclose reportable interests. Every candidate for the offices specified in § 87200 shall file no later than the final filing date a declaration of candidacy, a statement disclosing his or her investments, interests in real property, and any income received during the immediately preceding 12 months. Every person who is elected shall then file a statement within 30 days after assuming office. Throughout the duration of holding that office, he or she shall file an annual statement at the time specified by Commission regulations. Lastly, every person who leaves office shall file within 30 days of leaving office.

[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.

Your action violated the Act because you failed to file your 2009 Annual and Leaving Office SEI in a timely manner. However, since you do not have an enforcement history and have left office, 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.

Although the Enforcement Division is not seeking a penalty in the current matter, you are still required to immediately file all outstanding statements and will be responsible for any late filing fees assessed by your filing officer. (Gov. Code § 91013.)

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.

Please feel free to contact Tracey Frazier at (916) 327-2019 with any questions you may have regarding this letter.

Sincerely,

REDACTED

Gary S. Winuk
Chief, Enforcement Division

GSW:tf:ah