

## Fair Political Practices Commission

### CalPERS Candidate Controlled Committees Committees Primarily Formed to Support/Oppose CalPERS Candidates In Connection with the CalPERS September 27, 2021 Election & December 6, 2021 Runoff Election

<i>Deadline</i>	<i>Period</i>	<i>Form</i>	<i>Notes</i>
<b>Within 10 Business Days</b> <i>\$5,000 Report</i>	<b>Ongoing</b> File any time other than 90-day election cycle	<a href="#">497</a>	<ul style="list-style-type: none"> <li>File if a contribution of \$5,000 or more is received from a single source. Not required for committees primarily formed to support or oppose CalPERS candidates.</li> <li>No paper copy is required.</li> <li>File within 10 business days of receipt of contribution.</li> <li>Until the California Access Replacement System (CARS) is live, only e-filers file this report. Once the system is live, all filers file this report if a contribution of \$5,000 or more is received from a single source.</li> </ul>
<b>Within 10 Days</b> <i>Independent Expenditure Verification</i>	<b>Ongoing</b>	<a href="#">462</a>	<ul style="list-style-type: none"> <li>Committees making independent expenditures must file this form with the FPPC by e-mail only. No paper copy is required.</li> <li>Committees file only one Form 462 per election for each candidate supported or opposed by an independent expenditure.</li> <li>Once the California Access Replacement System (CARS) system is live, this report will be eliminated and no longer required.</li> </ul>
<b>Within 24 Hours</b> <i>Election Cycle Reports</i>	<b>6/29/21 – 9/27/21</b> <i>(for Sept 27 election)</i>  <b>9/7/21– 12/6/21</b> <i>(for Dec 6 runoff)</i>	<a href="#">496</a> <a href="#">497</a>	<ul style="list-style-type: none"> <li><b>496:</b> Primarily formed committees file if an independent expenditure of \$1,000 or more in the aggregate is <i>made</i> in connection with a candidate being voted on the September 27 and/or December 6 ballots. Candidates: Do not file for expenditures made on your own committee's behalf.</li> <li><b>497:</b> File if a contribution of \$1,000 or more in the aggregate is <i>received</i> from a single source.</li> <li><b>497:</b> File if a contribution of \$1,000 or more in the aggregate is <i>made</i> to or in connection with a candidate being voted on the September 27 and/or December 6 ballots.</li> <li>The recipient of a non-monetary contribution of \$1,000 or more in the aggregate must file a Form 497 within 48 hours from the time the non-monetary contribution is <i>received</i>.</li> <li>E-file only. No paper copy is required.</li> </ul>
<b>Aug 2, 2021</b> <i>Semi-Annual</i>	<b>1/1/21 – 6/30/21</b>	<a href="#">460</a>	<ul style="list-style-type: none"> <li>All committees must file this statement.</li> </ul>
<b>Aug 25, 2021</b> <i>1<sup>st</sup> Pre-Election</i>	<b>7/1/21 – 8/22/21</b>	<a href="#">460</a> or <a href="#">470</a>	<ul style="list-style-type: none"> <li>Each candidate listed on the ballot must file either Form 460 or Form 470 (see notes below).</li> <li>All committees primarily formed for a candidate file a Form 460.</li> </ul>
<b>Sep 27, 2021</b> <i>2<sup>nd</sup> Pre-Election</i>	<b>8/23/21 – 9/22/21</b>	<a href="#">460</a>	<ul style="list-style-type: none"> <li>All committees must file this statement.</li> <li>Paper copies must be filed by personal delivery or guaranteed overnight service only.</li> <li>Once the California Access Replacement System (CARS) system is live, all state committee filings will be done online or electronically with the Secretary of State.</li> </ul>

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<b>Dec 6, 2021</b> <i>Pre-Election (Runoff)</i>	<b>9/23/21 – 12/1/21</b>	<a href="#">460</a>	<ul style="list-style-type: none"> <li>• Paper copies must be filed by personal delivery or guaranteed overnight service only.</li> <li>• Once the California Access Replacement System (CARS) system is live, all state committee filings will be done online or electronically with the Secretary of State.</li> </ul>
<b>Jan 31, 2022</b> <i>Semi-Annual</i>	<b>12/2/21 – 12/31/21</b>  <b>9/23/21-12/31/21</b> (for those not listed on runoff ballot)	<a href="#">460</a>	<ul style="list-style-type: none"> <li>• All committees must file this statement.</li> </ul>

### Additional Notes:

- **E-File:** A state committee that has received contributions or made expenditures totaling \$25,000 or more. Once the California Access Replacement System (CARS) is live, all state committees will file online or electronically with the Secretary of State.
- **Where to File Form 460:** E-filers file the original online and one paper copy with the Secretary of State. Committees that may not e-file, file the original in paper format and one paper copy with the Secretary of State. E-filers and non e-filers must also e-mail a copy to CalPERS at [Board Election Coordinator@calpers.ca.gov](mailto:Board_Election_Coordinator@calpers.ca.gov). Once the California Access Replacement System (CARS) system is live, all state committees will file online or electronically with the Secretary of State, no paper copies will be filed with the Secretary of State. A copy will still be required to be e-mailed to CalPERS.
- **Form 460:** Candidates who have raised/spent \$2,000 or more file the Form 460. The Form 410 (Statement of Organization) must also be filed once \$2,000 or more has been raised/spent.
- **Form 470:** Candidates who do not raise or spend \$2,000 or more (or anticipate raising or spending \$2,000 or more) in 2021 and do not have an open committee may file Form 470 on or before August 25, 2021. If, later during the calendar year, the candidate raises or spends \$2,000 or more, a campaign committee must be opened, and a Form 470 Supplement and a Form 410 must be filed.
- **Forms 496 and 497:** All reports filed online only with the Secretary of State and e-mailed to CalPERS at [Board Election Coordinator@calpers.ca.gov](mailto:Board_Election_Coordinator@calpers.ca.gov).
- **Paper Filings:** All paper filings may be filed by first class mail unless otherwise noted.
- **California Access Replacement System (CARS):** The new Cal-Access system is expected to go live in June of 2021.
- **Multiple Candidate Controlled Committees:** All committees controlled by a CalPERS candidate must file statements on each filing deadline, in addition to the committee formed for this election.
- **Deadline Extensions:** Deadlines are extended when they fall on a Saturday, Sunday, or an official state holiday. This extension does not apply to any 24-Hour/10-Day Contribution Report (Form 497) that is due the weekend before an election, and this extension never applies to any 24-Hour/10-Day Independent Expenditure Report (Form 496). Such reports must be filed within 24 hours, regardless of the day of the week.
- **Penalties:** Late statements are subject to a fine of \$10 per day on both the paper and the e-filed version (i.e., \$20 per day for a late e-filed Form 460). Failure to file a statement or report could result in an enforcement penalty of \$5,000 per violation.
- **Period Covered:** 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.
- **Contribution Limits:** Contributions to CalPERS candidates are subject to contribution limits of \$4,900 per election. Committees that make contributions to CalPERS candidates are subject to contribution limits of \$8,100 per calendar year.

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- **Public Documents:** All statements and reports are public documents.
- **Resources:** Campaign manuals and instructional materials are available at [www.fppc.ca.gov](http://www.fppc.ca.gov), click on the [Campaign Rules](#) link.
- **Voting Periods:** Begin August 27, 2021 and November 5, 2021.
- **Section 84200.9** sets pre-election deadlines.