

CITY'S CONFLICT OF INTEREST CODE
APPENDIX B
DISCLOSURE CATEGORIES

The disclosure categories established herein provide for the full range of possible disclosure situations and avoid the requirement that a designated employee disclose more than is necessary. Each disclosure category is defined by listing the specific set of reporting forms ("Schedules") issued by the State Fair Political Practices Commission. The incumbent must complete the FPPC Form 700 and designated schedules and file them with the City Clerk by April 1. The following definitions are used for the various disclosure categories:

1. A business entity or source of income is located in or doing business in Pasadena if it or a parent, subsidiary, or related business entity:
 - A. Manufactures, distributes or sells products or services on a regular basis in Pasadena.
 - B. Plans to do business in Pasadena.
 - C. Has done business in Pasadena within the previous two years.
 - D. Has an interest in real property in Pasadena.
 - E. Has an office in Pasadena.
2. An interest in real property in Pasadena means real property located in Pasadena or within two miles of Pasadena or within two miles of real property owned or used by the City of Pasadena.

3. A business entity contracts with the City if it currently contracts with the City, has contracted with the City within the past two years or plans to contract with the City.
4. The terms "interests in real property", "investments", "income", "loans", "gifts", and "business entity" as used herein have the meaning set forth in the Fair Political Practices Act and the rules and regulations promulgated thereunder.

The disclosure categories are as follows:

1. Category "1" Designated Employees must report:
 - A. Schedule A-1 - Investments (e.g., stocks, bonds, warrants, options, debt instruments, partnerships, IRA's, etc.) In which the reporting official's ownership interest is less than 10%.
 - B. Schedule A-2 - Assets held by a business entity trust.
 - C. Schedule C - Income and business positions (other than gifts and loans).
 - D. Schedule D - Income (loans).
 - E. Schedule E - Income - gifts.
 - F. Schedule F - Income - travel payment advances and reimbursements.

provided, that:

- A. Investments, whether held directly or indirectly by you, your spouse or your dependent children, are worth \$2,000.00 or more at any time during the reporting period and are in business entities located in or doing business in Pasadena.
- B. Sources of income aggregate \$500.00 or more and are from sources located in or doing business in Pasadena.

- C. Loans aggregate \$500.00 or more received or outstanding during the reporting period and are from sources located in or doing business in Pasadena.
- D. Such gifts, including honoraria, aggregate \$50.00 or more. For this category, gifts and honoraria must be reported regardless of whether their source is inside or outside Pasadena.
- E. Travel payments, advances and reimbursements from your employer are not reportable.

2. Category "2" Designated Employees must report:

- A. Schedule B - Interests in real property (other than those held by a business entity or trust) (e.g., leasehold, beneficial or ownership interest, deed of trust, easements, or an option to acquire an interest).
- B. Schedule A-2 - Investments, income and assets held by business entity or trust.

provided that: Such interests in real property, whether held directly or indirectly, are worth \$2,000.00 or more and are located in Pasadena.

3. Category "3" Designated Employees must report:

- A. Schedule A-1 - Investments (e.g., stocks, bonds, warrants, options, debt instruments, partnerships, IRA's, etc.).
- B. Schedule A-2 - Investments held by a business entity or trust.
- C. Schedule C - Income (other than gifts and loans).
- D. Schedule D - Income (loans).
- E. Schedule E - Income (gifts including honoraria).
- F. Schedule F - Travel payments, advances and reimbursements.

provided that:

- A. Investments, whether held directly or indirectly, are worth \$2,000.00 or more and are in business entities that have an interest in real property in Pasadena.

- B. Sources of income aggregate \$500.00 or more and are from sources with an interest in real property in Pasadena.
 - C. Loans aggregate \$500.00 or more received or outstanding during the reporting period and are from sources with an interest in real property in Pasadena.
 - D. Gifts including honoraria aggregate \$50.00 or more and are from a source with an interest in real property in Pasadena.
 - E. Travel payments, advances and reimbursements from your employer are not reportable.
4. Category "4" Designated Employees must report:
- A. Schedule A-1 - Investments (e.g., stocks, bonds, warrants, options, debt instruments, partnerships, IRA's, etc.).
 - B. Schedule A-2 - Investments held by a business entity or trust.
 - C. Schedule C - Income (other than gifts and loans).
 - D. Schedule D - Income (loans).
 - E. Schedule E - Income (gifts including honoraria).
 - F. Schedule F - Travel payments, advances and reimbursements.

provided that:

- A. Investments, whether held directly or indirectly, are worth \$2,000.00 or more and are in business entities that contract with the City.
- B. Sources of income aggregate \$500.00 or more and are from a source that contracts with the City.
- C. Loans aggregate \$500.00 or more received or outstanding during the reporting period and are from a source that contracts with the City.
- D. Gifts including honoraria aggregate \$50.00 or more and are from a source that contracts with the City.

E. Travel payments, advances and reimbursements from your employer are not reportable.

5. Category "5" Designated Employees must report:

- A. Schedule A-1 - Investments (e.g., stocks, bonds, warrants, options, debt instruments, partnerships, IRA's, etc.).
- B. Schedule B - Interests in real property (other than those held by a business entity or trust) (e.g., leasehold, beneficial or ownership interest, deed of trust, easements, or an option to acquire an interest).
- C. Schedule A-2 - interests in real property held by business entity or trust.
- D. Schedule C - Income (other than gifts and loans).
- E. Schedule D - Income (loans).
- F. Schedule E - Income (gifts including honoraria).
- G. Schedule F - Travel payments, advances and reimbursements.

provided that:

- A. Investments, whether held directly or indirectly, are worth \$2,000.00 or more and are in business entities subject to the regulatory control of the employee (i.e., discretionary licensing, permitting, inspecting, etc.).
- B. Interests in real property, whether held directly or indirectly, are worth \$2,000.00 or more and are subject to the regulatory control of the employee.
- C. Sources of income aggregate \$500.00 or more and are from a source subject to the regulatory control of the employee.
- D. Loans aggregate \$500.00 or more received or

outstanding during the reporting period and are from a source subject to the regulatory control of the employee.

- E. Gifts including honoraria aggregate \$50.00 or more and are from a source subject to the regulatory control of the employee.
- F. Travel payments, advances and reimbursements from your employer are not reportable.

6. Category "6" Designated Employees must report:

- A. Schedule A-1 - Investments (e.g., stocks, bonds, warrants, options, debt instruments, partnerships, IRA's, etc.).
- B. Schedule A-2 - Investments held by a business entity or trust.
- C. Schedule C - Income (other than gifts and loans).
- D. Schedule D - Income (loans).
- E. Schedule E - Income (gifts including honoraria).
- F. Schedule F - Travel payments, advances and reimbursements.

provided that:

- A. Investments, whether held directly or indirectly are worth \$2,000.00 or more and are in business entities that contract with the City for materials, supplies, labor or services used by the employee's department or the employee's department administers the contract.
- B. Sources of income aggregate \$500.00 or more and are from a source that contracts with the City for materials, supplies, labor or services used by the employee's department or the employee's department administers the contract.

- C. Loans aggregate \$500.00 or more received or outstanding during the reporting period and are from a source that contracts with the City for materials, supplies, labor or services used by the employee's department or the employee's department administers the contract.
- D. Gifts including honoraria aggregate \$50.00 or more and are from a source that contracts with the City for materials, supplies, labor or services used by the employee's department or the employee's department administers the contract.
- E. Travel payments, advances and reimbursements from your employer are not reportable.

7. Category "7" Designated Employees must report:

- A. Schedule A-1 - Investments (e.g., stocks, bonds, warrants, options, debt instruments, partnerships, IRA's, etc.).
- B. Schedule B - Interests in real property (other than those held by a business entity or trust) (e.g., leasehold, beneficial or ownership interest, deed of trust, easements, or an option to acquire an interest).
- C. Schedule A-2 - Assets.
- D. Schedule C - Income (other than gifts and loans).
- E. Schedule D - Income (loans).
- F. Schedule E - Income (gifts including honoraria).
- G. Schedule F - Travel payments, advances and reimbursements.

provided that:

- A. Investments, whether held directly or indirectly, are worth \$2,000.00 or more and are in business entities that have an

interest in real property within two miles of Brookside Park or contract with the City if the contract concerns use of facilities in Brookside Park.

- B. Interests in real property, whether held directly or indirectly, are worth \$2,000.00 or more and are within two miles of Brookside Park.
 - C. Sources of income aggregate \$500.00 or more and are from a source with an interest in real property within two miles of Brookside Park or which contracts with the City if the contract concerns use of facilities in Brookside Park.
 - D. Loans aggregate, \$500.00 or more received or outstanding during the reporting period and are from a source with an interest in real property within two miles of Brookside Park or which contracts with the City if the contract concerns use of facilities in Brookside Park.
 - E. Gifts including honoraria aggregate \$50.00 or more and are from a source with an interest in real property within two miles of Brookside Park or which contracts with the City if the contract concerns use of facilities in Brookside Park.
 - F. Travel payments, advances and reimbursements from your employer are not reportable.
8. Category "8" Designated Employees must report:
- A. Schedule A-1 - Investments (e.g., stocks, bonds, warrants, options, debt instruments, partnerships, IRA's, etc.).
 - B. Schedule B - Interests in real property (other than those held by a business entity or trust) (e.g., leasehold, beneficial or ownership interest, deed of trust, easements, or an option to acquire an interest).
 - C. Schedule A-2 - Assets held by business entity

or trust.

- D. Schedule C - Income (other than gifts and loans).
- E. Schedule D - Income (loans).
- F. Schedule E - Income (gifts including honoraria).
- G. Schedule F - Travel payments, advances and reimbursements.

provided that:

- A. Investments, whether held directly or indirectly, are worth \$2,000.00 or more and are in business entities that have an interest in real property within half a mile of South Lake Parking Assessment District or contracts with the City if the contract relates to the South Lake Parking Assessment District or contract with the South Lake Parking Assessment District.
- B. Interests in real property, whether held directly or indirectly, are worth \$2,000.00 or more and are within half a mile of the South Lake Parking Assessment District.
- C. Sources of income aggregate \$500.00 or more and are from a source that has an interest in real property within a half a mile of the South Lake Parking Assessment District or contracts with the City if the contract relates to the South Lake Parking Assessment District or contracts with the South Lake Parking Assessment District.
- D. Loans aggregate \$500.00 or more received or outstanding during the reporting period and are from a source that has an interest in real property within a half a mile of the South Lake Parking Assessment District or contracts with the City if the contract relates to the South Lake Parking Assessment District or contracts with the South Lake Parking Assessment District.

- E. Gifts including honoraria aggregate \$50.00 or more and are from a source that has an interest in real property within a half a mile of the South Lake Parking Assessment District or contracts with the City if the contract relates to the South Lake Parking Assessment District or contracts with the South Lake Parking Assessment District.
- F. Travel payments, advances and reimbursements from your employer are not reportable.

9. Category "9" Designated Employees must report:

- A. Schedule A-1 - Investments (e.g., stocks, bonds, warrants, options, debt instruments, partnerships, IRA's etc.).
- B. Schedule B - Interests in real property (other than those held by a business entity or trust) (e.g., leasehold, beneficial or ownership interest, deed of trust, easements, or an option to acquire an interest).
- C. Schedule A-2 - assets held by business entity or trust.
- D. Schedule C - Income (other than gifts and loans).
- E. Schedule D - Income (loans).
- F. Schedule E - Income (gifts including honoraria).
- G. Travel payments, advances and reimbursements from your employer are not reportable.

provided that:

- A. Investments, whether held directly or indirectly, are worth \$2,000.00 or more and in business entities that have an interest in real property within half a mile of the Pasadena Center or contracts with the City if the contract relates to the Pasadena Center Operating Company.

- B. Interests in real property, whether held directly or indirectly, are worth \$2,000.00 or more and are within half a mile of the Pasadena Center.
 - C. Sources of income aggregate \$500.00 or more and are from a source that has an interest in real property within a half mile of the Pasadena Center or contracts with the City if the contract relates to the Pasadena Center or contracts with the Pasadena Center Operating Company.
 - D. Loans aggregate \$500.00 or more received or outstanding during the reporting period and are from a source that has an interest in real property within a half a mile of the Pasadena Center or contracts with the City if the contract relates to the Pasadena Center or contracts with the Pasadena Center Operating Company.
 - E. Gifts including honoraria aggregate \$50.00 or more and are from a source that has an interest in real property within a half a mile of the Pasadena Center or contracts with the City if the contract relates to the Pasadena Center Operating Company.
 - F. Travel payments, advances and reimbursements from your employer are not reportable.
10. Category "10" Designated Employees must report:
- A. Schedule A-1 - Investments (e.g., stocks, bonds, warrants, options, debt instruments, partnerships, IRA's, etc.).
 - B. Schedule A-2 - Assets held by a business entity or trust.
 - C. Schedule C - Income (other than gifts and loans).
 - D. Schedule D - Income (loans).
 - E. Schedule E - Income (gifts including

honoraria).

- F. Schedule F - Travel payments, advances and reimbursements.

provided that:

- A. Investments, whether held directly or indirectly are worth \$2,000.00 or more and are in business entities that contract with the City if the contract involves funding for the arts. Contract includes grants for this disclosure category.
- B. Sources of income aggregate \$500.00 or more and are from a source that contracts with the City if the contract involves funding for the arts. Contract includes grants for this disclosure category.
- C. Loans aggregate \$500.00 or more received or outstanding during the reporting period and are from a source that contracts with the City if the contract involves funding for the arts. Contract includes grants for this disclosure category.
- D. Gifts including honoraria aggregate \$50.00 or more are from a source that contracts with the City if the contract involves funding for the arts. Contract includes grants for this disclosure category.
- E. Travel payments, advances and reimbursements from your employer are not reportable.

11. Category "11" Designated Employees must report:

- A. Schedule A-1 - Investments (e.g., stocks, bonds, warrants, options, debt instruments, partnerships, IRA's, etc.).
- B. Schedule A-2 - Assets held by a business entity or trust.
- C. Schedule C - Income (other than gifts and loans).

- D. Schedule D - Income (loans).
- E. Schedule E - Income (gifts including honoraria).
- F. Schedule F - Travel payments, advances and reimbursements.

provided that:

- A. Investments, whether held directly or indirectly, are worth \$2,000.00 or more and are in business entities that contract with the City if the contract involves Community Development Block Grant Funds.
- B. Sources of income aggregate \$500.00 or more and are from a source that contracts with the City if the contract involves Community Development Block Grant Funds.
- C. Loans aggregate \$500.00 or more received or outstanding during the reporting period and are from a source that contracts with the City if the contract involves Community Development Block Grant Funds.
- D. Gifts including honoraria aggregate \$50.00 or more and are from a source that contracts with the City if the grant contract involves Community Development Block Grant Funds.
- E. Travel payments, advances and reimbursements from your employer are not reportable.

12. Category "12" Designated Employees must report:

- A. Schedule A-1 - Investments (e.g., stocks, bonds, warrants, options, debt instruments, partnerships, IRA's, etc.).
- B. Schedule A-2 - Assets held by a business entity or trust.
- C. Schedule C - Income (other than gifts and loans).
- D. Schedule D - Income (loans).

- E. Schedule E - Income (gifts including honoraria).
- F. Schedule F - Travel payments, advances and reimbursements.

provided that:

- A. Investments, whether held directly or indirectly, are worth \$2,000.00 or more and are in business entities that contract with the City if the contract involves the Water and Power Department.
 - B. Sources of income aggregate \$500.00 or more and are from a source that contracts with the City if the contract involves the Water and Power Department.
 - C. Loans aggregate \$500.00 or more received or outstanding during the reporting period and are from a source that contracts with the City if the contract involves the Water and Power Department.
 - D. Gifts including honoraria aggregate \$50.00 or more and are from a source that contracts with the City if the contract involves the Water and Power Department.
 - E. Travel payments, advances and reimbursements from your employer are not reportable.
13. Category "13" Designated Employees must report:
- A. Schedule A-1 - Investments (e.g., stocks, bonds, warrants, options, debt instruments, partnerships, IRA's, etc.).
 - B. Schedule A-2 - Assets held by a business entity or trust.
 - C. Schedule C - Income (other than gifts and loans).
 - D. Schedule D - Income (loans).

- E. Schedule E - Income (gifts including honoraria).
- F. Schedule F - Travel payments, advances and reimbursement.

provided that:

- A. Investments, whether held directly or indirectly, are worth \$2,000.00 or more and are in business entities that contract with the City, any television or cable television broadcaster, producer or provider, if the contract involves community access, or that contract with the Pasadena Community Access Corporation.
 - B. Sources of income aggregate \$500.00 or more and are from a source that contracts with the City, any television or cable television broadcaster, producer or provider, if the contract involves community access or that contracts with the Pasadena Community Access Corporation.
 - C. Loans aggregate \$500.00 or more received or outstanding during the reporting period and are from a source that contracts with the City, any television or cable television broadcaster, producer or provider, if the contract involves community access or that contracts with the Pasadena Community Access Corporation.
 - D. Gifts including honoraria aggregate \$50.00 or more and are from a source that contracts with the City, any television or cable television broadcaster, producer or provider, if the contract involves community access or that contracts with the Pasadena Community Access Corporation.
 - E. Travel payments, advances and reimbursement from your employer are not reportable.
14. Category "14" Designated Individuals must report:
- A. Schedule A-1 - Investments (e.g., stocks,

bonds, warrants, options, debt instruments, partnerships, IRA's, etc.).

- B. Schedule B - Interests in real property (other than those held by a business entity or trust (e.g., leasehold, beneficial or ownership interest, deed of trust, easements or an option to acquire an interest)).
- C. Schedule A-2 - Assets held by business entity or trust.
- D. Schedule C - Income (other than gifts and loans).
- E. Schedule D - Income (loans).
- F. Schedule E - Income (gifts including honoraria).
- G. Schedule F - Travel payments, advances or reimbursements.

provided that:

- A. Investments, whether held directly or indirectly, are worth \$2,000.00 or more and are in business entities that have an interest in real property within half a mile of the Rose Bowl or Arroyo Seco or contract with the City if the contract relates to the Rose Bowl or Arroyo Seco facilities or the contract is directly with the Rose Bowl Operating Company.
- B. Interests in real property, whether held directly or indirectly, are worth \$2,000.00 or more and are within half a mile of the Rose Bowl or Arroyo Seco.
- C. Sources or income aggregate \$500.00 or more and are from a source that has an interest in real property within half a mile of the Rose Bowl or Arroyo Seco or contract with the City if the contract relates to the Rose Bowl or Arroyo Seco facilities or contracts with the Rose Bowl Operating Company.

- D. Loans Aggregate \$500.00 or more received or outstanding during the reporting period and are from a source that has an interest in real property within half a mile of the Rose Bowl or Arroyo Seco or contracts with the City if the contract relates to the Rose Bowl or Arroyo Seco facilities or contracts with the Rose Bowl Operating Company.
- E. Gifts including honoraria aggregate \$50.00 or more and are from a source that has an interest in real property within half a mile of the Rose Bowl or Arroyo Seco or contracts with the City if the contract relates to the Rose Bowl or Arroyo Seco facilities.
- F. Travel payments, advances and reimbursement from your employer are not reportable.

15. Category "15" Designated Individuals must report:

- A. Schedule A-1 - Investments (e.g., stocks, bonds, warrants, options, debt instruments, IRA's, etc.)
- B. Schedule B - Interests in real property (other than those held by a business entity or trust) (e.g., leasehold, beneficial or ownership interest, deed of trust, easements, or an option to acquire an interest).
- C. Schedule A-2 - Assets held by business entity or trust.
- D. Schedule C - Income (other than gifts and loans).
- E. Schedule D - Income (loans).
- F. Schedule E - Income (gifts including honoraria).
- G. Schedule F - Travel payments, advances and reimbursements.

provided that:

- A. Investments whether held directly or

indirectly, are worth \$2,000.00 or more and are in business entities that have an interest in real property within half a mile of the Old Pasadena Parking Meter Zone as established in Section 10.45.100 of the Pasadena Municipal Code (hereafter referred to as "Zone").

- B. Interests in real property, whether held directly or indirectly, are worth \$2,000.00 or more and are with half a mile of the Zone.
- C. Sources of income aggregate \$500.00 or more and are from a source that has an interest in real property within a half a mile of the Zone or contracts with the City if the contract relates to the Zone.
- D. Loans aggregate \$500.00 or more received or outstanding during the reporting period and are from a source that has an interest in real property within a half a mile of the Zone or contracts with the City if the contract relates to the Zone.
- E. Gifts including honoraria aggregate \$50.00 or more and from a source that has an interest in real property within a half a mile of the Zone or contracts with the City if the contract relates to the Zone.
- F. Travel payments, advances and reimbursement from your employer are not reportable.

16. Category "16" Designated Individuals must report:

- A. Schedule A-1 - Investments (e.g., stocks, bonds, warrants, options, debt instruments, partnerships. IRA's, etc.).
- B. Schedule B - Interests in real property (other than those held by a business entity or trust (e.g., leasehold, beneficial or ownership interest, deed of trust, easements or an option to acquire an interest)).
- C. Schedule A-2 - Assets held by business entity or trust.