



The State Bar of California

OPEN SESSION AGENDA ITEM 50-12 NOVEMBER 2022

DATE: November 17, 2022

TO: Members, Board of Trustees

FROM: Brady R. Dewar, Assistant General Counsel, Office of General Counsel

SUBJECT: Proposed Changes to Conflict of Interest Code for Designated Employees: Request for Approval

EXECUTIVE SUMMARY

This item requests that the Board of Trustees approve an updated version of the Conflict of Interest Code for Designated Employees of the State Bar of California, which makes minor changes from the prior version. These changes update the list of designated employees to reflect several new, removed, and changed titles.

BACKGROUND

The Political Reform Act, Government Code § 81000, *et seq.* (PRA), requires that the State Bar, like other state agencies, adopt a conflict of interest code for officers, employees and consultants who, during the course of their work for the agency, make or participate in making decisions that may have a material impact on the interests defined in the code. Pursuant to the PRA, the State Bar has adopted a Conflict of Interest Code for Designated Employees of the State Bar of California (Code). The State Bar's Code adopts the model conflict of interest code promulgated and regularly updated by the Fair Political Practices Commission in Regulation 18730 of Title 2, Division 6 of the California Code of Regulations.

The Code includes a list of designated employee positions that are subject to the Code (Appendix A of the Code); these designated employees must report particular personal financial interests because they make or participate in making decisions that could have an impact on those financial interests. The Code also includes a list of categories in which designated employees must disclose interests (Appendix B of the Code); these categories reflect the

subject matter areas in which the designated employees may participate in decisions that could potentially be influenced by their own financial interests.

Government Code section 87306 requires periodic revisions of the Code to assure that the list of designated employees and disclosure categories are accurate, and to conform the Code to changes that may have occurred in the PRA or regulations of the California Fair Political Practices Commission (FPPC).

This Code addresses only potential financial conflicts of interest by State Bar employees and contractors and volunteer members of State Bar subentities, and sets forth related disclosure and recusal obligations. This is separate from and independent of the process, pursuant to State Bar Rule of Procedure 2201, by which the Office of Chief Trial Counsel screens for potential personal and/or financial conflicts with licensees who are the subject of disciplinary complaints or inquiries and refers matters where there is a conflict or appearance of conflict to independent Special Deputy Trial Counsel for handling. (Under that process, State Bar employees and Trustees fill out an annual questionnaire identifying personal and financial relationships with California attorneys.)

DISCUSSION

This year, a set of minor changes is proposed to the Code. Staff has reviewed and updated Appendix A, the list of designated employee positions that are subject to reporting requirements. Updated Appendix A reflects several title changes and new positions.¹ A redline comparison showing the changes to Appendix A from last year is provided as Attachment B.

FISCAL/PERSONNEL IMPACT

None

AMENDMENTS TO RULES

None

AMENDMENTS TO BOARD OF TRUSTEES POLICY MANUAL

None

STRATEGIC PLAN GOALS & IMPLEMENTATION STEPS

None – compliance

¹ In addition, the proposed Code reflects a single non-substantive technical change to the body of the Code: removal of a single footnote containing explanatory language regarding employees who work for multiple agencies. This change conforms the Code to the updated 2 Cal. Code Regs. Section 18730, the FPPC regulation on which the Code is based. (The previous version of the regulation contained the footnote; this year's update to the regulation removed the footnote.)

RECOMMENDATIONS

Should the Board of Trustees concur in the proposed action, passage of the following resolution is recommended:

RESOLVED, that the Board of Trustees Board of Trustees hereby adopts the proposed Conflict of Interest Code for Designated Employees of the State Bar of California as set forth in Attachment A.

ATTACHMENTS LIST

- A.** Conflict of Interest Code for Designated Employees of the State Bar of California
- B.** Redline comparison showing changes to Appendix A of the Conflict of Interest Code for Designated Employees of the State Bar of California, Designated Employee Positions

CONFLICT OF INTEREST CODE FOR DESIGNATED EMPLOYEES OF THE STATE BAR OF CALIFORNIA

(Current Version Approved by the Board of Trustees on November __, 2022)

The Board of Trustees of the State Bar of California has incorporated the terms of Regulation 18730 of the Regulations of the Fair Political Practices Commission Title 2, Division 6, California Code of Regulations to constitute the adoption and amendment of the Conflict of Interest Code for Designated Employees of the State Bar of California. The provisions of Regulation 18730, which appear below, along with Appendix A, the list of the State Bar's Designated Employee Positions, and Appendix B, the Disclosure Categories for Designated Employees, constitute the complete Conflict of Interest Code for Designated Employees of the State Bar of California. (Regulations of the Fair Political Practices Commission, Title 2, Division 6, California Code of Regulations.)

§ 18730. Provisions of Conflict of Interest Codes.

(a) Incorporation by reference of the terms of this regulation along with the designation of employees and the formulation of disclosure categories in the Appendix referred to below constitute the adoption and promulgation of a conflict of interest code within the meaning of Section 87300 or the amendment of a conflict of interest code within the meaning of Section 87306 if the terms of this regulation are substituted for terms of a conflict of interest code already in effect. A code so amended or adopted and promulgated requires the reporting of reportable items in a manner substantially equivalent to the requirements of article 2 of chapter 7 of the Political Reform Act, Sections 81000, et seq. The requirements of a conflict of interest code are in addition to other requirements of the Political Reform Act, such as the

general prohibition against conflicts of interest contained in Section 87100, and to other state or local laws pertaining to conflicts of interest.

(b) The terms of a conflict of interest code amended or adopted and promulgated pursuant to this regulation are as follows:

(1) Section 1. Definitions.

The definitions contained in the Political Reform Act of 1974, regulations of the Fair Political Practices Commission (Regulations 18110, et seq.), and any amendments to the Act or regulations, are incorporated by reference into this conflict of interest code.

(2) Section 2. Designated Employees.

The persons holding positions listed in the Appendix are designated employees. It has been determined that these persons make or participate in the making of decisions which may foreseeably have a material effect on economic interests.

(3) Section 3. Disclosure Categories.

This code does not establish any disclosure obligation for those designated employees who are also specified in Section 87200 if they are designated in this code in that same capacity or if the geographical jurisdiction of this agency is the same as or is wholly included within the jurisdiction in which those persons must report their economic interests pursuant to article 2 of chapter 7 of the Political Reform Act, Sections 87200, et seq.

In addition, this code does not establish any disclosure obligation for any designated employees who are designated in a conflict of interest code for another agency, if all of the following apply:

(A) The geographical jurisdiction of this agency is the same as or is wholly included

within the jurisdiction of the other agency;

(B) The disclosure assigned in the code of the other agency is the same as that required under article 2 of chapter 7 of the Political Reform Act, Section 87200; and

(C) The filing officer is the same for both agencies.

Such persons are covered by this code for disqualification purposes only. With respect to all other designated employees, the disclosure categories set forth in the Appendix specify which kinds of economic interests are reportable. Such a designated employee shall disclose in the employee's statement of economic interests those economic interests the employee has which are of the kind described in the disclosure categories to which the employee is assigned in the Appendix. It has been determined that the economic interests set forth in a designated employee's disclosure categories are the kinds of economic interests which the employee foreseeably can affect materially through the conduct of the employee's office.

(4) Section 4. Statements of Economic Interests: Place of Filing.

The code reviewing body shall instruct all designated employees within its code to file statements of economic interests with the agency or with the code reviewing body, as provided by the code reviewing body in the agency's conflict of interest code.¹

(5) Section 5. Statements of Economic Interests: Time of Filing.

(A) Initial Statements. All designated employees employed by the agency on the effective date of this code, as originally adopted, promulgated and approved by the code reviewing body, shall file statements within 30 days after the effective date of this code. Thereafter, each person already in a position when it is designated by an amendment to this code shall file an initial statement within 30 days after the effective date of the amendment.

(B) Assuming Office Statements. All persons assuming designated positions after the effective date of this code shall file statements within 30 days after assuming the designated positions, or if subject to State Senate confirmation, 30 days after being nominated or appointed.

(C) Annual Statements. All designated employees shall file statements no later than April 1. If a person reports for military service as defined in the Servicemember's Civil Relief Act, the deadline for the annual statement of economic interests is 30 days following the person's return to office, provided the person, or someone authorized to represent the person's interests, notifies the filing officer in writing prior to the applicable filing deadline that the person is subject to that federal statute and is unable to meet the applicable deadline, and provides the filing officer verification of the person's military status.

(D) Leaving Office Statements. All persons who leave designated positions shall file statements within 30 days after leaving office.

(5.5) Section 5.5. Statements for Persons Who Resign Prior to Assuming Office.

Any person who resigns within 12 months of initial appointment, or within 30 days of the date of notice provided by the filing officer to file an assuming office statement, is not deemed to have assumed office or left office, provided the person did not make or participate in the making of, or use the person's position to influence any decision and did not receive or become entitled to receive any form of payment as a result of the person's appointment. Such persons shall not file either an assuming or leaving office statement.

(A) Any person who resigns a position within 30 days of the date of a notice from the filing officer shall do both of the following:

(1) File a written resignation with the appointing power; and

(2) File a written statement with the filing officer declaring under penalty of perjury that during the period between appointment and resignation the person did not make, participate in the making, or use the position to influence any decision of the agency or receive, or become entitled to receive, any form of payment by virtue of being appointed to the position.

(6) Section 6. Contents of and Period Covered by Statements of Economic Interests.

(A) Contents of Initial Statements.

Initial statements shall disclose any reportable investments, interests in real property and business positions held on the effective date of the code and income received during the 12 months prior to the effective date of the code.

(B) Contents of Assuming Office Statements.

Assuming office statements shall disclose any reportable investments, interests in real property and business positions held on the date of assuming office or, if subject to State Senate confirmation or appointment, on the date of nomination, and income received during the 12 months prior to the date of assuming office or the date of being appointed or nominated, respectively.

(C) Contents of Annual Statements. Annual statements shall disclose any reportable investments, interests in real property, income and business positions held or received during the previous calendar year provided, however, that the period covered by an employee's first annual statement shall begin on the effective date of the code or the date of assuming office whichever is later, or for a board or commission member subject to Section 87302.6, the day after the closing date of the most recent statement filed by the member pursuant to Regulation

18754.

(D) Contents of Leaving Office Statements.

Leaving office statements shall disclose reportable investments, interests in real property, income and business positions held or received during the period between the closing date of the last statement filed and the date of leaving office.

(7) Section 7. Manner of Reporting.

Statements of economic interests shall be made on forms prescribed by the Fair Political Practices Commission and supplied by the agency, and shall contain the following information:

(A) Investment and Real Property Disclosure.

When an investment or an interest in real property² is required to be reported,³ the statement shall contain the following:

1. A statement of the nature of the investment or interest;
2. The name of the business entity in which each investment is held, and a general description of the business activity in which the business entity is engaged;
3. The address or other precise location of the real property;
4. A statement whether the fair market value of the investment or interest in real property equals or exceeds \$2,000, exceeds \$10,000, exceeds \$100,000, or exceeds \$1,000,000.

(B) Personal Income Disclosure. When personal income is required to be reported,⁴ the statement shall contain:

1. The name and address of each source of income aggregating \$500 or more in value, or \$50 or more in value if the income was a gift, and a general description of the business activity,

if any, of each source;

2. A statement whether the aggregate value of income from each source, or in the case of a loan, the highest amount owed to each source, was \$1,000 or less, greater than \$1,000, greater than \$10,000, or greater than \$100,000;

3. A description of the consideration, if any, for which the income was received;

4. In the case of a gift, the name, address and business activity of the donor and any intermediary through which the gift was made; a description of the gift; the amount or value of the gift; and the date on which the gift was received;

5. In the case of a loan, the annual interest rate and the security, if any, given for the loan and the term of the loan.

(C) Business Entity Income Disclosure. When income of a business entity, including income of a sole proprietorship, is required to be reported,⁵ the statement shall contain:

1. The name, address, and a general description of the business activity of the business entity;

2. The name of every person from whom the business entity received payments if the filer's pro rata share of gross receipts from such person was equal to or greater than \$10,000.

(D) Business Position Disclosure. When business positions are required to be reported, a designated employee shall list the name and address of each business entity in which the employee is a director, officer, partner, trustee, employee, or in which the employee holds any position of management, a description of the business activity in which the business entity is engaged, and the designated employee's position with the business entity.

(E) Acquisition or Disposal During Reporting Period. In the case of an annual or leaving office statement, if an investment or an interest in real property was partially or wholly acquired or disposed of during the period covered by the statement, the statement shall contain the date of acquisition or disposal.

(8) Section 8. Prohibition on Receipt of Honoraria.

(A) No member of a state board or commission, and no designated employee of a state or local government agency, shall accept any honorarium from any source, if the member or employee would be required to report the receipt of income or gifts from that source on the member's or employee's statement of economic interests.

(B) This section shall not apply to any part-time member of the governing board of any public institution of higher education, unless the member is also an elected official.

(C) Subdivisions (a), (b), and (c) of Section 89501 shall apply to the prohibitions in this section.

(D) This section shall not limit or prohibit payments, advances, or reimbursements for travel and related lodging and subsistence authorized by Section 89506.

(8.1) Section 8.1. Prohibition on Receipt of Gifts in Excess of \$520.

(A) No member of a state board or commission, and no designated employee of a state or local government agency, shall accept gifts with a total value of more than \$520 in a calendar year from any single source, if the member or employee would be required to report the receipt of income or gifts from that source on the member's or employee's statement of economic interests.

(B) This section shall not apply to any part-time member of the governing board of any

public institution of higher education, unless the member is also an elected official.

(C) Subdivisions (e), (f), and (g) of Section 89503 shall apply to the prohibitions in this section.

(8.2) Section 8.2. Loans to Public Officials.

(A) No elected officer of a state or local government agency shall, from the date of the election to office through the date that the officer vacates office, receive a personal loan from any officer, employee, member, or consultant of the state or local government agency in which the elected officer holds office or over which the elected officer's agency has direction and control.

(B) No public official who is exempt from the state civil service system pursuant to subdivisions (c), (d), (e), (f), and (g) of Section 4 of Article VII of the Constitution shall, while the official holds office, receive a personal loan from any officer, employee, member, or consultant of the state or local government agency in which the public official holds office or over which the public official's agency has direction and control. This subdivision shall not apply to loans made to a public official whose duties are solely secretarial, clerical, or manual.

(C) No elected officer of a state or local government agency shall, from the date of the election to office through the date that the officer vacates office, receive a personal loan from any person who has a contract with the state or local government agency to which that elected officer has been elected or over which that elected officer's agency has direction and control. This subdivision shall not apply to loans made by banks or other financial institutions or to any indebtedness created as part of a retail installment or credit card transaction, if the loan is made or the indebtedness created in the lender's regular course of business on terms available to

members of the public without regard to the elected officer's official status.

(D) No public official who is exempt from the state civil service system pursuant to subdivisions (c), (d), (e), (f), and (g) of Section 4 of Article VII of the Constitution shall, while the official holds office, receive a personal loan from any person who has a contract with the state or local government agency to which that elected officer has been elected or over which that elected officer's agency has direction and control. This subdivision shall not apply to loans made by banks or other financial institutions or to any indebtedness created as part of a retail installment or credit card transaction, if the loan is made or the indebtedness created in the lender's regular course of business on terms available to members of the public without regard to the elected officer's official status. This subdivision shall not apply to loans made to a public official whose duties are solely secretarial, clerical, or manual.

(E) This section shall not apply to the following:

1. Loans made to the campaign committee of an elected officer or candidate for elective office.

2. Loans made by a public official's spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin, or the spouse of any such persons, provided that the person making the loan is not acting as an agent or intermediary for any person not otherwise exempted under this section.

3. Loans from a person which, in the aggregate, do not exceed \$500 at any given time.

4. Loans made, or offered in writing, before January 1, 1998.

(8.3) Section 8.3. Loan Terms.

(A) Except as set forth in subdivision (B), no elected officer of a state or local

government agency shall, from the date of the officer's election to office through the date the officer vacates office, receive a personal loan of \$500 or more, except when the loan is in writing and clearly states the terms of the loan, including the parties to the loan agreement, date of the loan, amount of the loan, term of the loan, date or dates when payments shall be due on the loan and the amount of the payments, and the rate of interest paid on the loan.

(B) This section shall not apply to the following types of loans:

1. Loans made to the campaign committee of the elected officer.
2. Loans made to the elected officer by the officer's spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin, or the spouse of any such person, provided that the person making the loan is not acting as an agent or intermediary for any person not otherwise exempted under this section. Loans
3. made, or offered in writing, before January 1, 1998.

(C) Nothing in this section shall exempt any person from any other provision of Title 9 of the Government Code.

(8.4) Section 8.4. Personal Loans.

(A) Except as set forth in subdivision (B), a personal loan received by any designated employee shall become a gift to the designated employee for the purposes of this section in the following circumstances:

1. If the loan has a defined date or dates for repayment, when the statute of limitations for filing an action for default has expired.
2. If the loan has no defined date or dates for repayment, when one year has elapsed

from the later of the following:

- a. The date the loan was made.
- b. The date the last payment of \$100 or more was made on the loan.
- c. The date upon which the debtor has made payments on the loan aggregating to

less than \$250 during the previous 12 months.

(B) This section shall not apply to the following types of loans:

1. A loan made to the campaign committee of an elected officer or a candidate for elective office.
2. A loan that would otherwise not be a gift as defined in this title.
3. A loan that would otherwise be a gift as set forth under subdivision (A), but on which the creditor has taken reasonable action to collect the balance due.
4. A loan that would otherwise be a gift as set forth under subdivision (A), but on which the creditor, based on reasonable business considerations, has not undertaken collection action. Except in a criminal action, a creditor who claims that a loan is not a gift on the basis of this paragraph has the burden of proving that the decision for not taking collection action was based on reasonable business considerations.
5. A loan made to a debtor who has filed for bankruptcy and the loan is ultimately discharged in bankruptcy.

(C) Nothing in this section shall exempt any person from any other provisions of Title 9 of the Government Code.

(9) Section 9. Disqualification.

No designated employee shall make, participate in making, or in any way attempt to use

the employee's official position to influence the making of any governmental decision which the employee knows or has reason to know will have a reasonably foreseeable material financial effect, distinguishable from its effect on the public generally, on the official or a member of the official's immediate family or on:

(A) Any business entity in which the designated employee has a direct or indirect investment worth \$2,000 or more;

(B) Any real property in which the designated employee has a direct or indirect interest worth \$2,000 or more;

(C) Any source of income, other than gifts and other than loans by a commercial lending institution in the regular course of business on terms available to the public without regard to official status, aggregating \$500 or more in value provided to, received by or promised to the designated employee within 12 months prior to the time when the decision is made;

(D) Any business entity in which the designated employee is a director, officer, partner, trustee, employee, or holds any position of management; or

(E) Any donor of, or any intermediary or agent for a donor of, a gift or gifts aggregating \$500 or more provided to, received by, or promised to the designated employee within 12 months prior to the time when the decision is made.

(9.3) Section 9.3. Legally Required Participation.

No designated employee shall be prevented from making or participating in the making of any decision to the extent the employee's participation is legally required for the decision to be made. The fact that the vote of a designated employee who is on a voting body is needed to break a tie does not make the employee's participation legally required for

purposes of this section.

(9.5) Section 9.5. Disqualification of State Officers and Employees.

In addition to the general disqualification provisions of section 9, no state administrative official shall make, participate in making, or use the official's position to influence any governmental decision directly relating to any contract where the state administrative official knows or has reason to know that any party to the contract is a person with whom the state administrative official, or any member of the official's immediate family has, within 12 months prior to the time when the official action is to be taken:

(A) Engaged in a business transaction or transactions on terms not available to members of the public, regarding any investment or interest in real property; or

(B) Engaged in a business transaction or transactions on terms not available to members of the public regarding the rendering of goods or services totaling in value \$1,000 or more.

(10) Section 10. Disclosure of Disqualifying Interest.

When a designated employee determines that the employee should not make a governmental decision because the employee has a disqualifying interest in it, the determination not to act may be accompanied by disclosure of the disqualifying interest.

(11) Section 11. Assistance of the Commission and Counsel.

Any designated employee who is unsure of the employee's duties under this code may request assistance from the Fair Political Practices Commission pursuant to Section 83114 and Regulations 18329 and 18329.5 or from the attorney for the employee's agency, provided that nothing in this section requires the attorney for the agency to issue any formal or informal

opinion.

(12) Section 12. Violations.

This code has the force and effect of law. Designated employees violating any provision of this code are subject to the administrative, criminal and civil sanctions provided in the Political Reform Act, Sections 81000-91014. In addition, a decision in relation to which a violation of the disqualification provisions of this code or of Section 87100 or 87450 has occurred may be set aside as void pursuant to Section 91003.

¹See Section 81010 and Regulation 18115 for the duties of filing officers and persons in agencies who make and retain copies of statements and forward the originals to the filing officer.

²For the purpose of disclosure only (not disqualification), an interest in real property does not include the principal residence of the filer.

³Investments and interests in real property which have a fair market value of less than \$2,000 are not investments and interests in real property within the meaning of the Political Reform Act. However, investments or interests in real property of an individual include those held by the individual's spouse and dependent children as well as a pro rata share of any investment or interest in real property of any business entity or trust in which the individual, spouse and dependent children own, in the aggregate, a direct, indirect or beneficial interest of 10 percent or greater.

⁴A designated employee's income includes the employee's community property interest in

the income of the employee's spouse but does not include salary or reimbursement for expenses received from a state, local or federal government agency.

⁵Income of a business entity is reportable if the direct, indirect or beneficial interest of the filer and the filer's spouse in the business entity aggregates a 10 percent or greater interest. In addition, the disclosure of persons who are clients or customers of a business entity is required only if the clients or customers are within one of the disclosure categories of the filer.

Note: Authority cited: Section 83112, Government Code. Reference: Sections 87103(e), 87300- 87302, 89501, 89502 and 89503, Government Code.

APPENDIX A
DESIGNATED EMPLOYEE POSITIONS

OFFICE AND POSITIONS	DISCLOSURE CATEGORIES
I. Executive Director	
Executive Director/Chief Executive Officer	1, 2
Principal Program Analyst	2, 13
Program Analyst	2, 13
<i>Strategic Communications & Stakeholder Engagement</i>	
Program Director I	1, 2
Senior Program Analyst	2, 8, 12, 13
Program Coordinator	2, 8, 12, 13
<i>Public Trust Liaison</i>	
Public Trust Liaison	1, 2
Program Manager I	2, 13
II. Office of General Counsel	
General Counsel	1, 2
Deputy General Counsel	1, 2
Program Supervisor	2, 3, 5, 13
Attorney I, II, III, IV, V	2, 13
III. Office of Chief Trial Counsel	
Chief Trial Counsel	1, 2
Deputy Chief Trial Counsel	1, 2
Assistant Chief Trial Counsel	2, 13
Program Supervisor	2, 3, 5, 13
Supervising Attorney	2, 3, 5, 13
Senior Attorney	2, 13
Attorney	2, 13
Investigator I, II, III	2, 13
Forensic Accountant	2, 13
IV. Administrative Division	
Chief Administrative Officer	1, 2
Principal Program Analyst	1, 2
<i>Human Resources</i>	
Director, Human Resources	1, 2
Principal Human Resources Analyst	2, 6, 9, 13
Lead Human Resources Analyst	2, 6, 9, 13
Senior Human Resources Analyst	2, 6, 9, 13
Human Resources Analyst	2, 6, 9, 13

General Services	
Director, General Services	1, 2
Principal Program Analyst	1, 2
Program Supervisor	2, 3, 5
Senior Program Analyst	2, 3, 5
Program Analyst	2, 3, 5
Program Coordinator	2, 3, 5
General Services Specialist III	2, 3, 5
Information Technology	
IT Director III	1, 2
IT Director I	2, 8, 13
IT Manager III	2, 8, 13
IT Manager II	2, 8, 13
IT Manager I	2, 8, 13
Program Analyst	2, 8, 13

V. Office of Finance	
Chief Financial Officer	1, 2
Controller	1, 2
Finance Manager	2, 7, 13
Principal Financial Analyst	2, 7, 13
Senior Financial Analyst	2, 7, 13
VI. Programs Division	
Chief of Programs	1, 2
Deputy Chief of Programs	1, 2
Senior Program Analyst (Legislative Affairs)	1, 2
Access & Inclusion	
Program Director II	1, 2
Program Director I	1, 2
Program Supervisor	2, 3, 4, 5, 7, 13
Lead Program Analyst	2, 4, 5, 7, 13
Senior Program Analyst	2, 4, 5, 7, 13
Program Analyst	2, 4, 5, 7, 13
Senior Financial Analyst	2, 7, 13
Admissions	
Program Director III	1, 2
Program Director I	1, 2
Program Manager III	2, 4, 13
Program Manager II	2, 4, 13
Program Manager I	2, 4, 13
Principal Program Analyst	2, 4, 13
Senior Attorney	2, 4, 13
Investigator I, II, III	2, 4, 13
Program Supervisor	2, 4, 5, 13
Senior Program Analyst	2, 4, 5, 13
Program Analyst	2, 4, 5, 13
Program Supervisor	2, 4, 5, 13
Program Coordinator	2, 4, 5, 13

Program Specialist	2, 4, 5, 13
Professional Support and Client Protection (includes CSF, LAP and Probation)	
Client Security Fund	
Program Director III	1, 2
Managing Attorney	2, 13
Senior Attorney	2, 13
Attorney	2, 13
Program Supervisor	2, 3, 5, 13
LAP	
Program Supervisor	2, 3, 5, 11, 13
Senior Program Analyst	2, 11, 13
Clinical Rehabilitation Coordinator	2, 11, 13
Probation	
Supervising Attorney	2, 3, 5, 13
Probation Case Specialist	2, 13
Professional Competence	
Program Director II	1, 2
Managing Attorney	2, 13
Senior Attorney	2, 13
Program Manager I	2, 4, 5, 13
Lead Program Analyst	2, 13
Senior Program Analyst	2, 13
JNE Commission	
Program Supervisor	2, 13
Program Analyst	2, 13
Program Coordinator	2, 13
VII. State Bar Court	
Clerk of the Court	1, 2
Court Counsel	1, 2
State Bar Court Judge	2, 13
Program Manager II	1, 2
Attorney IV	2, 13
Supervising Attorney	2, 13
Senior Attorney	2, 13
Attorney	2, 13
Program Supervisor	2, 13
Court Specialist	2, 13
VIII. Mission Advancement & Accountability Division	
Chief Mission Officer	1, 2
Program Director I	1, 2
Principal Program Analyst	1, 2
Senior Program Analyst	2, 8, 12, 13
Lead Program Analyst	2, 8, 12, 13
Program Analyst	2, 8, 12, 13

IX. Regulation Division	
Special Counsel, Regulation	1, 2
Program Director II	1, 2
Program Manager II	2, 13
Program Supervisor	2, 13
Principal Program Analyst	2, 13
Lead Program Analyst	2, 13
Senior Program Analyst	2, 13
X. Committees and Other	
Lawyer Assistance Program Oversight Committee	13
California Board of Legal Specialization	13
Committee of Bar Examiners	13
Client Security Fund Commission	13
Legal Services Trust Fund Commission	13
Consultants/Contractors	14

APPENDIX B

DISCLOSURE CATEGORIES

Category 1.	Designated Employees in this category shall disclose, as required by sections 6 and 7 of this Code, all reportable investments, business positions in business entities, interests in real property, and sources of income including gifts, loans, and other payments.
-------------	--

Designated Employees in the following categories shall disclose, as required by this Code, all reportable investments in, business positions held in, and sources of income including gifts, loans, and other payments received from sources described below:

Category 2.	Sources that are subject to the regulatory, permit or licensing authority of the State Bar of California or have an application for a license, permit or other certification pending before the State Bar of California
Category 3.	Vendors of office supplies, office equipment, office furniture or business maintenance supplies or services, typesetting, printing or duplicating services or equipment, messenger services, mass mailing services or security services.
Category 4.	Accredited and unaccredited law schools, admissions related consultants and sources that provide education, training or education and training products used to qualify for or maintain a license to practice law in California including providers of continuing legal education, legal publications, and online legal research.
Category 5.	Travel agencies, hotels, meeting planning services, airlines, car rental agencies, ground transport entities, vendors of meeting space, food services, and entertainment.
Category 6.	Insurance companies, brokerage firms, carriers, holding companies, underwriters, brokers, solicitors, agents, adjusters, claims managers, actuaries, and third-party administrators.
Category 7.	Banks and other financial institutions.

Category 8.	Vendors of computers, computer hardware, maintenance, software, data processing, web hosting, web design, computer consulting services, video or telecom supplies, services, consulting or equipment and providers of audio-visual production services.
Category 9.	Employee benefit providers and administrators of employee benefits, personnel consulting services and employment agencies.
Category 10.	Real estate brokerage firms, real estate agents, real estate brokers and companies that engage in property management, land development, construction or the acquisition or sale or leasing or subleasing of real property.
Category 11.	Providers of consulting, rehabilitative, educational treatment or other services concerning the prevention, treatment or rehabilitation of persons suffering from chemical dependency.
Category 12.	Public relations and / or media management consultants.
Category 13.	An individual required to report for this category must disclose financial interests if, during a reporting period, the individual was required to make a disclosure under the provisions of Business and Professions Code sections 6038 and 6036. Volunteer members of State Bar bodies who are required to report for this category, although not specifically enumerated in Business and Professions Code section 6038, shall make disclosures as if they were specifically enumerated therein.
Category 14.	The disclosure category for Designated Employees in this category shall be determined by the Executive Director in consultation with the Board of Trustees.

Redline Comparison Showing Changes to Appendix A of the Conflict of Interest Code for Designated Employees of the State Bar of California, Designated Employee Positions

APPENDIX A
DESIGNATED EMPLOYEE POSITIONS

OFFICE AND POSITIONS	DISCLOSURE CATEGORIES
I. Executive Director	
Executive Director/Chief Executive Officer	1, 2
Principal Program Analyst	2, 13
<u>Program Analyst</u>	<u>2, 13</u>
<i>Strategic Communications & Stakeholder Engagement</i>	
<u>Principal Program Analyst</u> <u>Program Director I</u>	<u>1, 2, 8, 12, 13</u>
Senior Program Analyst	2, 8, 12, 13
Program Coordinator	2, 8, 12, 13
<u>Public Trust Liaison</u>	
<u>Public Trust Liaison</u>	<u>1, 2</u>
<u>Program Manager I</u>	<u>2, 13</u>
II. Office of General Counsel	
General Counsel	1, 2
Deputy General Counsel	1, 2
<u>Administrative-Program</u> Supervisor	2, 3, 5, 13
Attorney I, II, III , IV, <u>V</u>	2, 13
III. Office of Chief Trial Counsel	
Chief Trial Counsel	1, 2
Deputy Chief Trial Counsel	1, 2
<u>Special Assistant Chief Trial Counsel</u>	<u>2, 13</u>
Assistant Chief Trial Counsel	2, 13
<u>Administrative-Program</u> Supervisor	2, 3, 5, 13
Supervising Attorney	2, 3, 5, 13
Senior Attorney	2, 13
Attorney	2, 13
Investigator I, II, III	2, 13
<u>Forensic Accountant</u>	<u>2, 13</u>
IV. Administrative Division	
Chief Administrative Officer	1, 2
Principal Program Analyst	1, 2
<i>Human Resources</i>	
Director, Human Resources	1, 2

Principal Human Resources Analyst	2, 6, 9, 13
<u>Lead Human Resources Analyst</u>	<u>2, 6, 9, 13</u>
Senior Human Resources Analyst	2, 6, 9, 13
Human Resources Analyst	2, 6, 9, 13
General Services	
Director, General Services	1, 2
Principal Program Analyst	1, 2
<u>Administrative-Program</u> Supervisor	2, 3, 5
Senior Program Analyst	2, 3, 5
Program Analyst	2, 3, 5
Program Coordinator	2, 3, 5
General Services Specialist III	2, 3, 5
Information Technology	
IT Director <u>III</u>	1, 2
<u>IT Director I</u>	<u>2, 8, 13</u>
IT Manager III	2, 8, 13
IT Manager II	2, 8, 13
IT Manager I	2, 8, 13
<u>Program Analyst</u> <u>Senior Administrative Assistant</u>	<u>2, 8, 13</u>

V. <u>Chief Financial Officer</u>Office of Finance	
Chief Financial Officer	1, 2
Controller	1, 2
Finance Manager	2, 7, 13
Principal Financial Analyst	2, 7, 13
Senior Financial Analyst	2, 7, 13
VI. <u>Chief of Programs</u> <u>Division</u>	
Chief of Programs	1, 2
Deputy Chief of Programs	1, 2
<u>Principal Program Analyst</u> <u>Senior Program Analyst (Legislative Affairs)</u>	1, 2
Access & Inclusion	
Program Director II	1, 2
Program <u>Manager</u> <u>Director II</u>	1, 2
Program Supervisor	2, 3, 4, 5, 7, 13
<u>Lead Program Analyst</u>	<u>2, 4, 5, 7, 13</u>
Senior Program Analyst	2, 4, 5, 7, 13
Program Analyst	2, 4, 5, 7, 13
Senior Financial Analyst	2, 7, 13
Admissions	
Program Director III	1, 2
Program Director I	1, 2
Program Manager III	2, 4, 13
Program Manager II	2, 4, 13
Program Manager I	2, 4, 13
Principal Program Analyst	2, 4, 13
Senior Attorney	2, 4, 13
Investigator I, II, III	2, 4, 13
<u>Administrative-Program</u> Supervisor	2, 4, 5, 13

Senior Program Analyst	2, 4, 5, 13
Program Analyst	2, 4, 5, 13
Program Supervisor	2, 4, 5, 13
Program Coordinator	2, 4, 5, 13
Program Specialist	2, 4, 5, 13
<i>Attorney Regulation & Consumer Resources</i>	
Program Director II	1, 2
Program Manager II	2, 13
Program Supervisor	2, 13
Senior Program Analyst	2, 13
<i>Professional Support and Client Protection (includes CSF, LAP and Probation)</i>	
<i>Client Security Fund</i>	
Program Director III	1, 2
Supervising/Managing Attorney	2, 13
Senior Attorney	2, 13
Attorney	2, 13
Program Supervisor	2, 3, 5, 13
<i>LAP</i>	
Program Supervisor	2, 3, 5, 11, 13
Senior Program Analyst	2, 11, 13
Clinical Rehabilitation Coordinator	2, 11, 13
<i>Probation</i>	
Supervising Attorney	2, 3, 5, 13
Clinical Rehabilitation Coordinator	2, 11, 13
Probation Case Specialist	2, 13
<i>Professional Competence</i>	
Program Director II	1, 2
Supervising/Managing Attorney	2, 13
Senior Attorney	2, 13
Program Supervisor Manager I	2, 4, 5, 13
Lead Program Analyst	2, 13
Senior Program Analyst (Fee Arbitration)	2, 13
<i>JNE Commission</i>	
Program Supervisor	2, 13
Program Analyst	2, 13
Program Coordinator	2, 13
VII. State Bar Court	
Program Director III (Clerk of the Court)	1, 2
Court Counsel	1, 2
State Bar Court Judge	2, 13
Program Manager II	1, 2
Attorney IV	2, 13
Supervising Attorney	2, 13
Senior Attorney	2, 13
Attorney	2, 13
Program Supervisor	2, 13

Court Specialist	2, 13
VIII. Chief of Mission Advancement & Accountability Division	
Chief of Mission Advancement & Accountability Officer	1, 2
Research & Institutional Accountability	
Program Director II	1, 2
Principal Program Analyst	1, 2
<u>Senior Program Analyst</u>	<u>2, 8, 12, 13</u>
<u>Lead Program Analyst</u>	<u>2, 8, 13, 13</u>
Program Analyst	2, 8, 12, 13
Board Support, JNE Commission, Appointments, Legislative Affairs	
Attorney IV	2, 13
Attorney II	2, 13
Principal Program Analyst	2, 13
Administrative Supervisor	2, 13
<u>IX. Regulation Division</u>	
<u>Special Counsel, Regulation</u>	<u>1, 2</u>
<u>Program Director II</u>	<u>1, 2</u>
<u>Program Manager II</u>	<u>2, 13</u>
<u>Program Supervisor</u>	<u>2, 13</u>
<u>Principal Program Analyst</u>	<u>2, 13</u>
<u>Lead Program Analyst</u>	<u>2, 13</u>
<u>Senior Program Analyst</u>	<u>2, 13</u>
IX. Committees and Other	
Lawyer Assistance Program Oversight Committee	13
California Board of Legal Specialization	13
Committee of Bar Examiners	13
Client Security Fund Commission	13
Legal Services Trust Fund Commission	13
Consultants/Contractors	14