

**State of California
Office of Administrative Law**

In re:
Department of Finance

Regulatory Action:

Title 02, California Code of Regulations

Adopt sections:

Amend sections: 37000

Repeal sections:

NOTICE OF FILING AND PRINTING ONLY

Government Code Section 11343.8

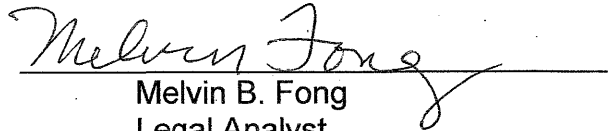
OAL Matter Number: 2025-1222-03

OAL Matter Type: File and Print Only (FP)

This is a Conflict of Interest Code filing that has been approved by the Fair Political Practices Commission and is being submitted for filing with the Secretary of State and printing in the California Code of Regulations.

OAL filed this regulation(s) or order(s) of repeal with the Secretary of State, and will publish the regulation(s) or order(s) of repeal in the California Code of Regulations.

Date: February 3, 2026


Melvin B. Fong
Legal Analyst

**For: Kenneth J. Pogue
Director**

Original: Michael Cohen, Director

Copy: Larissa Stockton

NOTICE PUBLICATION/REGULATIONS SUBMISSION

STD. 400 (REV. 10/2019)

FILE PRINT

For use by Secretary of State only

| | | | |
|---|---------------------------------|---|-------------------------------|
| OAL FILE NUMBERS | NOTICE FILE NUMBER Z- | REGULATORY ACTION NUMBER 2025-1222-03 | EMERGENCY NUMBER FP |
| For use by Office of Administrative Law (OAL) only | | | |
| NOTICE | | REGULATIONS | |
| AGENCY WITH RULEMAKING AUTHORITY Department of Finance | | AGENCY FILE NUMBER (If any) | |

ENDORSED - FILED
in the office of the Secretary of State
of the State of California

FEB 03 2026

1:47 PM
[Signature]

OFFICE OF ADMIN. LAW
2025 DEC 22 PM 4:20

A. PUBLICATION OF NOTICE (Complete for publication in Notice Register)

| | | | | |
|--|--|--|------------------------|-------------------------------|
| 1. SUBJECT OF NOTICE | | TITLE(S) | FIRST SECTION AFFECTED | 2. REQUESTED PUBLICATION DATE |
| 3. NOTICE TYPE <input type="checkbox"/> Notice re Proposed Regulatory Action <input type="checkbox"/> Other | | 4. AGENCY CONTACT PERSON | TELEPHONE NUMBER | FAX NUMBER (Optional) |
| OAL USE ONLY | | ACTION ON PROPOSED NOTICE <input type="checkbox"/> Approved as Submitted <input type="checkbox"/> Approved as Modified <input type="checkbox"/> Disapproved/Withdrawn | | NOTICE REGISTER NUMBER |
| | | | | PUBLICATION DATE |

B. SUBMISSION OF REGULATIONS (Complete when submitting regulations)

| | | | |
|--|--|--|------------------------------|
| 1a. SUBJECT OF REGULATION(S) Conflict-of-Interest-Code | | 1b. ALL PREVIOUS RELATED OAL REGULATORY ACTION NUMBER(S) Z-2025-0908-03 | |
| 2. SPECIFY CALIFORNIA CODE OF REGULATIONS TITLE(S) AND SECTION(S) (Including title 26, if toxics related) | | | |
| SECTION(S) AFFECTED (List all section number(s) individually. Attach additional sheet if needed.) | | ADOPT | |
| TITLE(S) 2 | | AMEND Section 37000 | |
| | | REPEAL | |
| 3. TYPE OF FILING | | | |
| <input type="checkbox"/> Regular Rulemaking (Gov. Code §11346) <input type="checkbox"/> Certificate of Compliance: The agency officer named below certifies that this agency complied with the provisions of Gov. Code §§11346.2-11347.3 either before the emergency regulation was adopted or within the time period required by statute. <input type="checkbox"/> Emergency Readopt (Gov. Code, §11346.1(h)) <input type="checkbox"/> Changes Without Regulatory Effect (Cal. Code Regs., title 1, §100) | | | |
| <input type="checkbox"/> Resubmittal of disapproved or withdrawn nonemergency filing (Gov. Code §§11349.3, 11349.4) <input type="checkbox"/> Resubmittal of disapproved or withdrawn emergency filing (Gov. Code, §11346.1) <input checked="" type="checkbox"/> File & Print <input type="checkbox"/> Print Only | | | |
| <input type="checkbox"/> Emergency (Gov. Code, §11346.1(b)) <input type="checkbox"/> Other (Specify) _____ | | | |
| 4. ALL BEGINNING AND ENDING DATES OF AVAILABILITY OF MODIFIED REGULATIONS AND/OR MATERIAL ADDED TO THE RULEMAKING FILE (Cal. Code Regs. title 1, §44 and Gov. Code §11347.1) | | | |
| 5. EFFECTIVE DATE OF CHANGES (Gov. Code, §§ 11343.4, 11346.1(d); Cal. Code Regs., title 1, §100) | | | |
| <input type="checkbox"/> Effective January 1, April 1, July 1, or October 1 (Gov. Code §11343.4(a)) <input type="checkbox"/> Effective on filing with Secretary of State <input type="checkbox"/> §100 Changes Without Regulatory Effect <input checked="" type="checkbox"/> Effective other (Specify) 30 days after SOS filing per CCR 18750 | | | |
| 6. CHECK IF THESE REGULATIONS REQUIRE NOTICE TO, OR REVIEW, CONSULTATION, APPROVAL OR CONCURRENCE BY, ANOTHER AGENCY OR ENTITY | | | |
| <input type="checkbox"/> Department of Finance (Form STD. 399) (SAM §6660) <input checked="" type="checkbox"/> Fair Political Practices Commission <input type="checkbox"/> State Fire Marshal | | | |
| <input type="checkbox"/> Other (Specify) _____ | | | |
| 7. CONTACT PERSON Larissa Stockton | | TELEPHONE NUMBER 916-767-8372 | FAX NUMBER (Optional) n/a |
| | | E-MAIL ADDRESS (Optional) larissa.stockton@dof.ca.gov | |

8. I certify that the attached copy of the regulation(s) is a true and correct copy of the regulation(s) identified on this form, that the information specified on this form is true and correct, and that I am the head of the agency taking this action, or a designee of the head of the agency, and am authorized to make this certification.

SIGNATURE OF AGENCY HEAD OR DESIGNEE
Jennifer Whitaker
Digitally signed by Jennifer Whitaker
Date: 2025.12.22 15:00:21 -08'00'

DATE
12/22/2025

TYPED NAME AND TITLE OF SIGNATORY
Jennifer Whitaker, Chief Operating Officer

For use by Office of Administrative Law (OAL) only

AUTHORIZED FOR FILING AND PRINTING

FEB 03 2026

Office of Administrative Law

**DEPARTMENT OF FINANCE
CONFLICT OF INTEREST CODE**

~~Effective Date:~~

The Political Reform Act, (Government Code Section 81000, et seq.), requires state and local government agencies to adopt and promulgate conflict of interest codes. The Fair Political Practices Commission has adopted a regulation (2 California Code of Regulations, Section 18730) that contains the terms of a standard conflict of interest code, which may be incorporated by reference in an agency's code. After public notice and hearing, ~~this regulation~~ the standard code may be amended by the Fair Political Practices Commission to conform to amendments to the Political Reform Act. Therefore, the terms of 2 California Code of Regulations ~~sections~~ Section 18730 and any amendments to it duly adopted by the Fair Political Practices Commission are hereby incorporated by reference. This regulation and the attached ~~appendices~~ Appendices, designating positions and establishing disclosure categories, shall constitute the conflict of interest code of the **Department of Finance** ("Department").

~~The statements of economic interests for the Director and any other employee who serves as a designee to the Director or who manages public funds shall be filed~~ The Director and Designees to the Director must file their statement of economic interests electronically with the Fair Political Practices Commission. All other individuals holding designated positions ~~shall~~ must file their statements with the **Department**. All statements must be made available for public inspection and reproduction ~~(Gov. Code Sec. 81008).~~ under Government Code Section 81008.

NOTE: Authority cited: Sections 81008, 87300, 87306, Government Code. Reference: Section 87302, Government Code.

**DEPARTMENT OF FINANCE
CONFLICT OF INTEREST CODE**

APPENDIX A

| DESIGNATED POSITIONS | ASSIGNED DISCLOSURE CATEGORY |
|---|------------------------------------|
| EXECUTIVE OFFICE | |
| Deputy Director, <u>External Affairs</u> | I |
| <u>Federal Economic Policy and Fiscal Issues to the Governor</u> <u>Senior</u> <u>Advisor to the Director of Finance</u> | I |
| | |
| LEGAL OFFICE | |
| Attorney III-IV (Specialist) | I |
| | |
| <u>OVERSIGHT AND ACCOUNTABILITY</u> | |
| RESEARCH AND ANALYSIS | |
| <u>Assistant Program Budget Manager (All)</u> <u>Chief, Research and</u> <u>Analysis</u> | III |
| Principal Program Budget Analyst I-III | III |
| | |
| <u>OFFICE OF STATE AUDITS AND EVALUATIONS</u> | |
| <u>Chief, Office of State Audits and Evaluations</u> | I |
| <u>Assistant Chief, Office of State Audits and Evaluations</u> | I |

**DEPARTMENT OF FINANCE
CONFLICT OF INTEREST CODE**

| DESIGNATED POSITIONS | ASSIGNED DISCLOSURE CATEGORY |
|---|------------------------------------|
| <u>Manager, Financial and Performance Evaluator</u> | I |
| <u>Supervisor, Financial and Performance Evaluator</u> | X |
| | |
| ADMINISTRATIVE SERVICES/EMPLOYEE | |
| COMPENSATION/INFORMATION | |
| TECHNOLOGYADMINISTRATION | |
| Assistant Chief, Office of State Audits and Evaluations | I |
| Assistant Program Budget Manager | I |
| <u>Deputy Director of Administration</u> | I |
| Business Services Manager | I |
| Chief, Administrative Services | I |
| Chief, Information Officer | III |
| Chief, Information Technology Consulting Unit | II |
| Chief, Office of State Audits and Evaluations | I |
| Information Technology Manager I, Information Services | III |
| <u>Information Technology Manager II, Information Services</u> | III |
| Information Technology Manager I, Information Technology Consulting Unit | II |
| Information Technology Supervisor II, Information Security Officer | III |
| Information Technology Supervisor II | II |
| Manager, Financial and Performance Evaluator | I |

**DEPARTMENT OF FINANCE
CONFLICT OF INTEREST CODE**

| DESIGNATED POSITIONS | ASSIGNED DISCLOSURE CATEGORY |
|--|------------------------------------|
| <u>Principal Program Budget Analysts I-III</u> | II |
| <u>Supervisor, Financial and Performance Evaluator</u> | X |
| | |
| <u>GOVERNMENT OPERATIONS, CONSUMER AFFAIRS, INFORMATION TECHNOLOGY CONSULTING UNIT, LOCAL GOVERNMENT AND TAX</u> | |
| <u>Assistant Program Budget Manager</u> | I |
| <u>Principal Program Budget Analysts I-III</u> | II |
| <u>Chief, Information Technology Consulting Unit</u> | II |
| <u>Information Technology Supervisor II, Information Technology Consulting Unit</u> | II |
| | |
| EDUCATION SYSTEMS | |
| Assistant Program Budget Manager (All) | II |
| Principal Program Budget Analysts I-III | II |
| | |
| FORECASTING | |
| Chief (All) | V |
| Research Data Manager (All) | V |
| Principal Program Budget Analysts I-III | II |
| Research Data Specialist III (All) | V |

**DEPARTMENT OF FINANCE
CONFLICT OF INTEREST CODE**

| DESIGNATED POSITIONS | ASSIGNED DISCLOSURE CATEGORY |
|---|------------------------------------|
| LOCAL | |
| GOVERNMENT/ENERGY/TRANSPORTATION/HOUSING/LABOR | |
| <u>TRANSPORTATION, HOUSING, AND LABOR</u> | |
| Assistant Program Budget Manager (All) | II |
| Principal Program Budget Analysts I-III | II |
| | |
| HEALTH AND HUMAN SERVICES | |
| Assistant Program Budget Manager (All) | II |
| Principal Program Budget Analysts I-III | II |
| | |
| <u>HUMAN SERVICES</u> | |
| Assistant Program Budget Manager (All) | II |
| Principal Program Budget Analysts I-III | II |
| | |
| BUDGET OPERATIONS SUPPORT/FISCAL SYSTEMS AND CONSULTING | |
| Assistant Program Budget Manager, Budget Operations Support (All) | II |
| Chief, FSCU | II |
| <u>Assistant Chief, FSCU</u> | II |

**DEPARTMENT OF FINANCE
CONFLICT OF INTEREST CODE**

| DESIGNATED POSITIONS | ASSIGNED DISCLOSURE CATEGORY |
|--|------------------------------------|
| Principal Program Budget Analysts I-III | II |
| Supervising Administrative Analyst (Accounting Systems) | IV |
| | |
| <u>NATURAL RESOURCES, ENVIRONMENT, AND CAPITAL OUTLAY CLIMATE AND ENERGY</u> | |
| Assistant Program Budget Manager, Capital Outlay | I |
| Assistant Program Budget Manager, Resources and Environment (All) | II |
| Principal Program Budget Analysts I-III | II |
| | |
| <u>STATEWIDE AND CAPITAL OUTLAY</u> | |
| Assistant Program Budget Manager, Statewide Budget | I |
| Principal Program Budget Analyst I-III | II |
| | |
| <u>CORRECTIONS/JUSTICE/GENERAL GOVERNMENT CRIMINAL JUSTICE AND GENERAL GOVERNMENT</u> | |
| Assistant Program Budget Manager (All) | II |
| Principal Program Budget Analyst I-III | II |
| | |
| <u>Consultants/New Positions</u> | * |
| FINANCIAL INFORMATION SYSTEM FOR CALIFORNIA (FI\$Cal) | |

**DEPARTMENT OF FINANCE
CONFLICT OF INTEREST CODE**

| DESIGNATED POSITIONS | ASSIGNED DISCLOSURE CATEGORY |
|---|------------------------------------|
| PROJECT SUPPORT | |
| Information Technology Manager II | II |
| Partner Business Executive, DOF | II |
| Principal Program Budget Analysts I-III | II |

CONSULTANTS/NEW POSITIONS*

*~~Consultants/New Positions~~ new positions shall be included in the list of designated employees and shall disclose pursuant to the broadest disclosure category in the code subject to the following limitation:

The Director of Finance may determine in writing that a particular consultant, or new position, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to ~~fully~~ fully comply with the disclosure requirements in this section. Such written determination shall include a description of the consultant's or new position's duties and, based upon that description, a statement of the extent of disclosure requirements. The Director of Finance's determination is a public record and shall be retained for public inspection in the same manner and location as this conflict of interest code. (Gov. Code Sec. 81008.)

OFFICIALS WHO MANAGE PUBLIC INVESTMENTS

The following positions are NOT covered by the ~~conflict of interest~~ conflict of interest code because they must file under Government Code Section 87200 and, therefore, are listed for informational purposes only:

- Director
- Chief Deputy Director (All)
- Chief Counsel, Department of Finance
- Chief Operating Officer
- Legislative Director
- Program Budget Manager (All)
- Assistant Program Budget Manager, Capital Outlay

An individual holding one of the above listed positions may contact the Fair Political Practices Commission for assistance or written advice regarding their filing obligations if they believe that their position has been categorized incorrectly. The Fair Political Practices Commission makes the final determination whether a position is covered by Government Code Section 87200.

**DEPARTMENT OF FINANCE
CONFLICT OF INTEREST CODE**

APPENDIX B

DISCLOSURE CATEGORIES

DISCLOSURE CATEGORIES

~~Category I~~Category I

~~Designated employees positions~~ in this category shall disclose all investments, and business positions in business entities, sources of income (including receipt of interests in real property, income including gifts, loans, and travel payments), and business positions, and real property located in the state of California.

~~Category II~~Category II

~~Designated employees positions~~ in this category shall disclose:

- ~~Any business entity in which the designated employee has an investment or business position, or income~~ Investments and business positions in business entities, and sources of income (including receipt of gifts, loans, and travel payments), if the business entity or source of income is of the type which has sold or leased services, supplies, products, or equipment to any department, board, commission, or any other agency within the employee's position's assigned program area, ~~within the period covered by the disclosure statement.~~
- ~~Any business entity in which the designated employee has an investment or business position, or income including~~ Investments and business positions in business entities, and sources of income, (including receipt of gifts, loans, and travel payments), if the business entity or source of income is regulated by the programs of any department, board, commission, or other agency within the employee's position's assigned program area.
- ~~Any~~ All interests in real property which is owned, leased, or otherwise subject to a beneficial or ownership interest by any department, board, commission, or agency within the employee's position's assigned program area, or which is directly subject to regulation or of the type to receive grants or other monies from or through the department, board, commission, or other agency.

~~Category III~~Category III

DEPARTMENT OF FINANCE CONFLICT OF INTEREST CODE

~~Designated employees positions~~ in this category shall disclose ~~business entities in which they have investments or business positions, or income including gifts, loans, and travel payments, if the business entity or source of income is of the type which sells or leases telecommunication, information technology, electronic data processing products, facilities, supplies or services.~~ investments and business positions in business entities and sources of income (including receipt of gifts, loans and travel payments) if the business entity or source provides information technology or telecommunications goods, products or services including computer hardware or software companies, computer consultant services, IT training companies, data processing firms and media services.

~~Category IV~~ Category IV

~~Designated employees positions~~ in this category shall disclose investments and business positions in business entities and sources of income (including receipt of gifts, loans, and travel payments) if the business entity or source provides in which they have investments or business positions, or income including gifts, loans, and travel payments, if the business entity or sources of income is of the type which sells or leases electronic and other accounting goods products and services (including training or consulting services).

~~Category V~~ Category V

~~Designated employees positions~~ in this category shall disclose investments and business positions in business entities and sources of income (including receipt of gifts, loans and travel payments) if the business entity or source in which they have investments or business positions, or income including gifts, loans, and travel payments, if the business entity or source of income provides products, data collection or consulting services, field survey services or information, economic and revenue data and forecasting, or applications and use of electronic data processing.

~~Category X~~ Category X

Designated positions in this category shall indicate whether, during the reporting period they had a financial interest in any of their assignments. If they had no such interest, they shall file Fair Political Practices Commission Form 700-A. Otherwise, they shall disclose their pertinent financial interests in any of their assignments on the schedules for Fair Political Practices Commission Form 700.

Auth: 87306, Government Code
Ref: 87300, Government Code

This is the last page of the conflict of interest code for the Department of Finance



CERTIFICATION OF FPPC APPROVAL

Pursuant to Government Code Section 87303, the conflict of interest code for the
Department of Finance was approved on 12/12/25

John M. Feser
Jr.

Digitally signed by John M.
Feser Jr.
Date: 2025.12.12 15:44:33
-08'00'

Sr. Commission Counsel

Fair Political Practices Commission

Pursuant to Government Code Section 11346.2:

Secretary of State Filing Date:

Effective: