

**AGENDA**

**REGULAR MEETING OF THE BOARD  
OF THE MARIN PUBLIC FINANCING AUTHORITY  
COUNTY OF MARIN, STATE OF CALIFORNIA**

**LAS GALLINAS VALLEY SANITARY DISTRICT  
300 SMITH RANCH ROAD  
SAN RAFAEL, CALIFORNIA 94903**

**TUESDAY, JANUARY 24, 2017  
10:00 A.M.**

In compliance with the Americans with Disabilities Act of 1990, if you need special assistance to participate in an Authority meeting, or you need a copy of the agenda, or the agenda packet, in an appropriate alternative format, please contact the Secretary at (415) 332-0244. Notification of at least 48 hours prior to the meeting or time when services are needed will assist the District staff in assuring that reasonable arrangements can be made to provide accessibility to the meeting and service.

In conformance with California Government Code Section 54957.5, any writing or document that is a public record, relates to an open session agenda item, and its distribution less than 72 hours prior to a regular meeting will be made available for public inspection at the District Office. If, however, the document or writing is not distributed until the regular meeting to which it relates, then the document or writing will be made available to the public at the location of the meeting, as listed on this agenda.

*To get the full Marin Public Financing Authority Meeting Packet, please visit: [www.smcsd.net](http://www.smcsd.net) or [www.lgvsd.org](http://www.lgvsd.org)*

**I. MEETING ROLL CALL: WILLIAMS, MCGUIRE, KINGSTON, LEI**

**II. PUBLIC COMMENT**

(Members of the public are invited to address the Board concerning topics which are not listed on the Agenda. [If an item is agenzized, interested persons may address the Board during the Board's consideration of that item.] Speakers should understand that except in very limited situations, state law precludes the Board from taking action on or engaging in extended deliberations concerning items of business, which are not on the Agenda. Consequently, if further consideration is required, the Board may refer the matter to its staff or direct that the subject be agenzized for a future meeting. The Board reserves the right to limit the time devoted to this portion of the Agenda and to limit the duration of speakers' presentations.)

**III. CONSENT CALENDAR**

NONE

**IV. NEW BUSINESS**

**MOTION:**

- A. ACKNOWLEDGE FORMATION OF THE JOINT POWERS AUTHORITY UNDER THE GOVERNMENT CODE AND DIRECT THE FILING OF THE REQUIRED STATEMENT PURSUANT TO GOVERNMENT CODE SECTION 6503.5 WITH THE SECRETARY OF STATE.

(The Board will be asked to acknowledge formation of the Joint Powers Authority under the Government Code and direct the filing of the required Statement pursuant to Government Code Section 6503.5 with the Secretary of State.)

**MOTION:**

- B. RESOLUTION NO. 2017 – 1: RESOLUTION OF THE BOARD OF DIRECTORS OF THE MARIN PUBLIC FINANCING AUTHORITY REGARDING ORGANIZATIONAL MATTERS  
(The Board will be asked to adopt Resolution No. 2017 - 1)

**MOTION:**

- C. RESOLUTION NO. 2017 – 2: RESOLUTION OF THE BOARD OF DIRECTORS OF THE MARIN PUBLIC FINANCING AUTHORITY ADOPTING A CONFLICT OF INTEREST CODE

(The Board will be asked to adopt Resolution No. 2017 - 2)

**MOTION:**

- D. APPROVE LIABILITY INSURANCE APPLICATION TO THE CALIFORNIA SANITATION RISK MANAGEMENT AUTHORITY FOR THE MARIN PUBLIC FINANCING AUTHORITY

(The Board will be asked to approve the attached application for General Liability, Directors and Officers Liability and Public Official's Errors & Omissions Liability insurance coverage from CSRMA on behalf of the Marin Public Financing Authority)

**V. BOARD OF DIRECTORS**

- A. Next Board Meeting Agenda Item Request - Verbal
  
- B. The next Board meeting is to be held on Thursday, February 9, 2017 at 2:00 p.m., Las Gallinas Valley Sanitary District, 300 Smith Ranch Road, San Rafael, California.

**VI. ADJOURNMENT**

**The Board of Directors may, at its discretion, consider agenda items out of the order in which they appear.**

**AGENDA ITEM: IV.A.  
DATE: JANUARY 24, 2017**

**ACKNOWLEDGE FORMATION OF THE JOINT POWERS AUTHORITY UNDER THE GOVERNMENT CODE AND DIRECT THE FILING OF THE REQUIRED STATEMENT PURSUANT TO GOVERNMENT CODE SECTION 6503.5 WITH THE SECRETARY OF STATE.**

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**BACKGROUND:**

At the January 9, 2017 Sausalito-Marín City Sanitary District (SMCSD) Board meeting, the SMCSD Board adopted Resolution No. 1029 Authorizing the Execution of the Joint Exercise of Power Agreement with Las Gallinas Valley Sanitary District (LGVSD) for the Purpose of Establishing the Marin Public Financing Authority.

At the January 12, 2017 LGVSD Board meeting, the LGVSD Board adopted Resolution No. 2017-2081 for the same issue.

Under the government code, the Marin Public Financing Authority (MPFA) Board acknowledge formation of the Joint Powers Authority.

**RECOMMENDATION:**

Acknowledge formation of the joint powers authority under the government code and direct the filing of the required statement pursuant to government code section 6503.5 with the Secretary of State.

**SUBMITTED BY:**



Helen Lei, Office Manager/Board Secretary

**RESOLUTION NO. 2017 – 1**

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE  
MARIN PUBLIC FINANCING AUTHORITY  
REGARDING ORGANIZATIONAL MATTERS**

**WHEREAS**, the Marin Public Financing Authority (the “Authority”) has been formed under a Joint Exercise of Powers Agreement dated as of January 24, 2017 (the “Joint Powers Agreement”), for the purpose of establishing an entity authorized to assist the financing and refinancing of capital improvement projects of Las Gallinas Valley Sanitary District (“LGVSD”) and Sausalito-Marin City Sanitary District; and

**WHEREAS**, under the Joint Powers Agreement, the Board of Directors of the Authority (the “Board”) is required to take certain actions in furtherance of the formation of the Authority;

**NOW THEREFORE, BE IT RESOLVED** by the Board of the Authority as follows:

**Section 1. Bylaws.** Under Section 4(c)(5) of the Joint Powers Agreement, the Board hereby adopts the bylaws, in the form on file with the Secretary of the Authority, as the Bylaws of the Authority (the “Bylaws”).

**Section 2. Confirmation of Officers.** Under Section 2.6 of the Bylaws, the Board hereby confirms the officers of the Authority who are appointed and serve pursuant to the Joint Powers Agreement and the Bylaws.

**Section 3. Establishment of Regular Meetings.** Under Section 4.1 of the Bylaws, future regular meetings shall be held on the same date as regular meetings of the Board of Directors of LGVSD at 2:00 p.m. If the Secretary does not post an agenda for a regular meeting pursuant to Government Code Section 54954.21, then such failure to post shall be deemed to be a determination by the President that no items required discussion and, therefore, that the regular meeting should be cancelled, except as otherwise provided in Section 54954.2.

**Section 4. Effective Date.** This Resolution shall take effect from and after the date of its approval and adoption.

**PASSED, APPROVED AND ADOPTED** by the Board of the Authority at a regular meeting of the Board held the 24<sup>th</sup> day of January, 2017, by the following vote:

AYES:

NOES:

ABSENT:

ABSTAIN:

APPROVED:

ATTEST:

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President

Secretary

Attachment: IV. B.

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**BY-LAWS**

**OF THE**

**MARIN PUBLIC FINANCING AUTHORITY**

**Adopted January 24, 2017**

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## ARTICLE I

### THE AUTHORITY

Section 1.1. Name. The official name of the Authority shall be the “Marin Public Financing Authority” and shall be referred to herein as the “Authority.” The Authority was created pursuant to the Joint Exercise of Powers Agreement, dated as of January 24, 2017 (the “Agreement”), between Las Gallinas Valley Sanitary District (“LGVSD”) and Sausalito- Marin City Sanitary District (“SMCSD”).

Section 1.2. Authority Board Members. The Authority shall be administered by a governing board of directors (the “Board”) as set forth in the Agreement. The General Manager and senior finance officer (or the senior officer handling financial matters) of each Member shall be the initial members of the Board. Each Member shall have two directors of the Board and may select those directors from elected directors, officers or employees of their agency. Each member agency may from time to time select and appoint new directors to the Authority by notifying the Authority in writing of such an action. The term of office as a member of the Board shall terminate when a Member informs the Authority of a new appointment or when the director ceases to hold such position and the Member has appointed a replacement.

Section 1.3. Office. The business office of the Authority shall be the business office of LGVSD or at such other place as may be designated by the Board.

## ARTICLE II

### OFFICERS

Section 2.1. Officers. The Officers of the Authority shall be the President, Vice President, Treasurer and Secretary and shall initially be the holders of the positions of the Members provided below. The officers of the Authority shall be determined by the Board at the annual meeting. There shall be no term limits for officers so long as they are a member of the Board.

Section 2.2. President. The initial President of the Authority shall be the person who is the General Manager of LGVSD. The President shall preside at all meetings of the Authority, and shall submit such information and recommendations to the Board as he or she may consider proper concerning the business, policies and affairs of the Authority. The President shall be responsible for execution and supervision of the affairs of the Authority.

Section 2.3. Vice President. The initial Vice President of the Authority shall be the person who is the General Manager of SMCSD. If the President is not then available to carry out his or her duties, then the Vice President shall be responsible for such duties.

Section 2.4. Treasurer. The initial Treasurer of the Authority shall be the person who serves as the senior finance officer of LGVSD. Subject to the applicable provisions of any trust agreement, indenture or resolution providing for a trustee or other fiscal agent, the Treasurer is designated as the depository of the Authority to have custody of all the money of the Authority, from whatever source, and, as such, shall have the powers, duties and responsibilities specified in Section 6505.5 of the Act.

Section 2.5. Secretary. The initial Secretary of the Authority shall be the person who serves as the senior finance officer of SMCSO. The Secretary shall keep the records of the Authority, shall act as Secretary at the meetings of the Authority and record all votes, shall keep a record of the proceedings of the Authority in a journal of proceedings to be kept for such purpose, shall produce minutes of Board meetings, and shall perform all other duties incident to the office.

Section 2.6. Confirmation of Officers. Confirmation or selection of new officers shall be the first order of business at the annual meeting of the Authority, held in each calendar year.

Section 2.7. Legal Advisor. Initially, the person serving in the position of District Counsel to LGVSD shall act as the legal advisor of the Authority and shall perform such duties as may be prescribed by the Board; *provided, however*, that if the Authority's legal advisor determines that a conflict exists in connection with his or her representation of the Authority as to any specific matter, he or she shall so advise the Board and the Board shall select such other attorney or firm of attorneys to act as the legal advisor to the Authority with respect to such matter. The confirmation of or selection of legal counsel shall occur at the annual meeting to the extent practical.

Section 2.8. Authority to Bind Authority. Any member of the Board of the Authority may be authorized to execute agreements or other documents on behalf of the Authority; *provided that* no member, officer, agent or employee of the Authority, without prior specific or general authority by a vote of the Board, shall have any power or authority to bind the Authority by any contract, to pledge its credit, or to render it liable for any purpose in any amount.

### **ARTICLE III**

#### **EMPLOYEES AND AGENTS**

Section 3.1. Appointment of Employees and Agents. The Authority may from time to time request from the Members the services of such personnel, counsel or agents, permanent or temporary, as may be necessary to carry out the business and affairs of the Authority. The Board may in addition employ temporary professional and technical personnel on such terms and at such rates of compensation as the Board may determine, for the performance of Authority business and affairs, provided that adequate sources of funds are identified for the payment of such temporary professional and technical services.

### **ARTICLE IV**

#### **MEETINGS**

Section 4.1. Regular Meetings. The Board shall conduct a regular meeting on January 24, 2017, at 10:00 a.m., at the offices of LGVSD located at 300 Smith Ranch Road, San Rafael, California 94903. Thereafter, unless otherwise provided by a resolution of the Authority, regular meetings shall be held at the offices of LGVSD at 2:00 p.m. on the same date as regular meetings of the Board of Directors of LGVSD. If the Secretary does not post an agenda for a regular meeting pursuant to Government Code Section 54954.21, then such failure to post shall be deemed to be a determination by the President that no items required discussion and, therefore, that the regular

meeting should be cancelled, except as otherwise provided in Section 54954.2. The Authority shall hold an annual meeting, which shall typically be the first regular meeting of each calendar year, however, the time and place for the annual meeting may be modified by a Board resolution when matters to be considered at the annual meeting are prepared and ready for Board action.

Section 4.2. Special Meetings. A special meeting may be called at any time by the President or the Vice President by delivering written notice to each Board member and providing public notice. Such written notice to a Board member may be dispensed with as to any Board member who at or prior to the time the meeting convenes files with the Secretary of the Authority a written waiver of notice. Such waiver may be given by electronic mail or telecopy. Such written notice may also be dispensed with as to any Board member who is actually present at the meeting.

Section 4.3. Closed Sessions. Nothing contained in these by-laws shall be construed to prevent the Board from holding closed sessions during a regular or special meeting concerning any matter permitted by law to be considered in a closed session.

Section 4.4. Public Hearings. All public hearings held by the Board shall be held during regular or special meetings of the Board.

Section 4.5. Adjourning Meetings and Continuing Public Hearings to Other Times or Places. The Board may adjourn any meeting to a time and place specified in the order of adjournment. Less than a quorum may so adjourn from time to time. If all Board members are absent from any regular meeting or adjourned regular meeting the Secretary or Acting Secretary of the Authority may declare the meeting adjourned to a stated time and place and shall cause a written notice of the adjournment to be given in the same manner as provided for special meetings unless such notice is waived as provided for special meetings. A copy of the order or notice of adjournment shall be conspicuously posted on or near the door of the place where the meeting was held within 24 hours after the time of the adjournment. When a regular or adjourned regular meeting is adjourned as provided in this section, the resulting adjourned regular meeting is a regular meeting for all purposes. When an order of adjournment of any meeting fails to state the hour at which the adjourned meeting is to be held, it shall be held at the hour specified for regular meetings.

Any public hearing being held, or any hearing noticed or ordered to be held at any meeting may by order or notice of continuance be continued or recontinued to any subsequent meeting in the same manner and to the same extent set forth herein for the adjournment of the meetings; provided, that if the hearing is continued to a time less than 24 hours after the time specified in the order or notice of hearing a copy of the order or notice of continuance shall be posted immediately following the meeting at which the order or declaration of continuance was adopted or made.

Section 4.6. Ralph M. Brown Act. The Ralph M. Brown Act applies to all meetings of the Board.

Section 4.7. Order of Business. The President or Vice President shall prepare or approve the agenda of all meetings. Business will be conducted according to the agenda, except when determined by the Board as permitted by law.



Section 4.8. Parliamentary Procedure. The presiding officer at the meeting shall determine the rules of conduct. The presiding officer may be guided by the rules of parliamentary procedure set forth in Rosenberg's Rules of Order, but failure to follow Rosenberg's Rules of Order shall not affect the validity of any action or motion duly taken or adopted by the Board at any lawfully held meeting.

## **ARTICLE V**

### **AMENDMENTS**

Section 5.1. Amendments to By-Laws. These by-laws may be amended by the Board of the Authority at any regular or special meeting by majority vote, provided that a description of the proposed amendment to any particular section is included in the notice of such meeting.

RESOLUTION NO. 2017 - 2

RESOLUTION OF THE BOARD OF DIRECTORS OF THE  
MARIN PUBLIC FINANCING AUTHORITY  
ADOPTING A CONFLICT OF INTEREST CODE

WHEREAS, the Marin Public Financing Authority (the "Authority") has been formed under a Joint Exercise of Powers Agreement dated as of January 24, 2017 (the "Joint Powers Agreement"), for the purpose of establishing an entity authorized to assist the financing and refinancing of capital improvement projects of Authority ("AUTHORITY") and Sausalito-Marin City Sanitary District; and

WHEREAS, under the Joint Powers Agreement, the Board of Directors of the Authority (the "Board") is required to take certain actions in furtherance of the formation of the Authority;

WHEREAS, the Board intends to adopt a Conflict of Interest Code as required by the Political Reform Act;

NOW THEREFORE, BE IT RESOLVED by the Board of the Authority as follows:

Section 1. The Political Reform Act (Government Code Section 81000, et seq.) requires state and local government agencies, including the Authority to adopt and promulgate conflict of interest codes.

Section 2. The Fair Political Practices Commission (the "FPPC") has adopted a regulation that contains the terms of a Model Conflict of Interest Code (the "Model Code"). The Model Code, codified at 2 California Code of Regulations Section 18730, can be incorporated by reference by the Authority as its conflict of interest code. After public notice and hearing, the FPPC may amend the Model Code to conform to amendments to the Political Reform Act.

Section 3. The Model Code, attached hereto as Exhibit "A," and any amendments to it duly adopted by the FPPC, are hereby incorporated into the conflict of interest code of this Authority by reference. This regulation and the attached Appendices designating officials and employees and establishing economic disclosure categories shall constitute the Conflict of Interest Code for the Authority.

Section 4. All officials and employees required to submit a Statement of Economic Interests shall file their statements with the President or his or her designee. For elected officials, the President shall make and retain a copy of all statements filed and forward the originals of such statements to the Office of the County Clerk of Marin County. Designated employees (not elected officials) shall file their Statement of Economic Interests with the Authority and the originals of such statements will be so retained by the Authority. All retained statements,

Agenda Item: IV.C

original or copied, shall be available for public inspection and reproduction (Gov. Code Section 81008).

Section 5. The Authority has directed the Legal Advisor to coordinate the preparation of a revised Conflict of Interest Code in succeeding even-numbered years in accordance with the requirements of Government Code Sections 87306 and 87306.5. Changes have been made consistent with the modifications to the Model Code. These modifications are approved by passage of this Resolution. The changes will be sent to the Office of the County Clerk of Main County. When no revisions to the Code are required, the AUTHORITY shall submit a report to the Office of the County Clerk of Marin County no later than October 1st of the same year, stating that amendments to the Code are not required.

Section 6. The Secretary is directed to certify to the passage and adoption of this resolution.

Section 7. This Resolution shall take effect from and after the date of its approval and adoption.

PASSED, APPROVED AND ADOPTED by the Board of the Authority at a regular meeting of the Board held the 24<sup>th</sup> day of January, 2017, by the following vote:

AYES:

NOES:

ABSENT:

ABSTAIN:

APPROVED:

ATTEST:

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President

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Secretary

MARIN PUBLIC FINANCING AUTHORITY  
EXHIBIT "A"

FAIR POLITICAL PRACTICES COMMISSION(FPPC) MODEL CODE

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 Government Code section 87300 or the amendment of a conflict of interest code within the meaning of Government Code 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, Government Code 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 Government Code 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 (2 Cal. Code of Regs. sections 18100,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 Government Code 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 financial interests pursuant to article 2 of chapter 7 of the Political Reform Act, Government Code sections 87200, et seq.

Attachment: IV.C.

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, Government Code section 87200; and

(C) The filing officer is the same for both agencies.<sup>1</sup>

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 financial interests are reportable. Such a designated employee shall disclose in his or her statement of economic interests those financial interests he or she has which are of the kind described in the disclosure categories to which he or she 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 financial interests which he or she foreseeably can affect materially through the conduct of his or her 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.<sup>2</sup>

(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.

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<sup>1</sup> Designated employees who are required to file statements of economic interests under any other agency's conflict of interest code, or under article 2 for a different jurisdiction, may expand their statement of economic interests to cover reportable interests in both jurisdiction, and file copies of this expanded statement with both entities in lieu of filing separate and distinct statements, provided that each copy of such expanded statement filed in place of an original is signed and verified by the designated employee as if it were an original. See Government Code section 81004.

<sup>2</sup> See Government Code section 81010 and 2 Cal. Code of regs. Section 18115 for the duties of filing officers and persons in agencies that make and retain copies of statements and forward the originals to the filing officer.

Attachment: IV.C.

(C) Annual Statements. All designated employees shall file statements no later than April 1.

(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 he or she did not make or participate in the making of, or use his or her position to influence any decision and did not receive or become entitled to receive any form of payment as a result of his or her 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 he or she 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.

Attachment: IV.C.

(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 property<sup>3</sup> is required to be reported,<sup>4</sup> 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 exceeds two thousand dollars (\$2,000), exceeds ten thousand dollars (\$10,000), exceeds one hundred thousand dollars (\$100,000), or exceeds one million dollars (\$1,000,000).

(B) Personal Income Disclosure. When personal income is required to be reported,<sup>5</sup> the statement shall contain:

1. The name and address of each source of income aggregating five hundred dollars (\$500) or more in value, or fifty dollars (\$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 one thousand dollars (\$1,000) or less,

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<sup>3</sup> For the purpose of disclosure only (not disqualification), an interest in real property does not include the principal residence of the filer.

<sup>4</sup> Investments and interests in real property which have a fair market value of less than \$ 2,000.00 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 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.

<sup>5</sup> A designated employee's income includes his or her community property interest in the income of his or her spouse but does not include salary or reimbursement for expenses received from a state, local or federal government agency.

Attachment: IV.C.

greater than one thousand dollars (\$1,000), greater than ten thousand dollars (\$10,000), or greater than one hundred thousand dollars (\$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,<sup>6</sup> 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 ten thousand dollars (\$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 he or she is a director, officer, partner, trustee, employee, or in which he or she 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 his or her statement of economic interests. 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.

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<sup>6</sup> Income 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 of 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.



Attachment: IV.C.

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

This section shall not limit or prohibit payments, advances, or reimbursements for travel and related lodging and subsistence authorized by Government Code section 89506.

(8.1) Section 8.1. Prohibition on Receipt of Gifts in Excess of \$460.

(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 \$460 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 his or her statement of economic interests. 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.

Subdivisions (e), (f), and (g) of Government Code 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 his or her election to office through the date that he or she 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 he or she 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 his or her election to office through the date that he or she 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 he or she 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

Attachment: IV.C.

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 five hundred dollars (\$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 his or her election to office through the date he or she vacates office, receive a personal loan of five hundred dollars (\$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 his or her 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.

3. Loans 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

Attachment: IV.C.

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 one hundred dollars (\$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 two hundred fifty dollars (\$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 his or her official position to influence the making of any governmental decision which he or she 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 his or her immediate family or on:

Attachment: IV.C.

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

(B) Any real property in which the designated employee has a direct or indirect interest worth two thousand dollars (\$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 five hundred dollars (\$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 \$440 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 his or her 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 his or her 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 his or her official 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 his or her 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 or 18705.2(c) totaling in value one thousand dollars (\$1,000) or more.

Attachment: IV.C.

(10) Section 10. Disclosure of Disqualifying Interest.

When a designated employee determines that he or she should not make a governmental decision because he or she 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 his or her duties under this code may request assistance from the Fair Political Practices Commission pursuant to Government Code section 83114 and Regulations 18329 and 18329.5 or from the attorney for his or her 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, Government Code sections 81000-91015. In addition, a decision in relation to which a violation of the disqualification provisions of this code or of Government Code section 87100 or 87450 has occurred may be set aside as void pursuant to Government Code section 91003.

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

MARIN PUBLIC FINANCING AUTHORITY

**APPENDIX "A"**

CATEGORY 1

Persons in this category shall disclose all interests in real property located within the jurisdiction of the Sausalito-Marín City Sanitary District or the Las Gallinas Valley Sanitary District (hereinafter "Districts"). Real property shall be deemed to be within the jurisdiction if the property or any part of it is located within, or not more than two miles outside of, the boundaries of the jurisdiction, or within two miles of any land owned or used by the Districts.

Persons are not required to disclose property used primarily as their principal residence or any other property that they utilize exclusively as their personal residences.

CATEGORY 2

Persons in this category shall disclose reportable income from persons or business entities that have a franchise or contract with the Districts or that provide, plan to provide or have provided within two years from the time a statement is required under this Conflict of Interest Code, franchise or contractual services, or other services, supplies, materials or equipment of the type utilized by the Districts.

CATEGORY 3

Persons in this category shall disclose reportable investments in business entities that have a franchise or contract with the Districts or that provide, plan to provide or have provided within two years from the time a statement is required under this Conflict of Interest Code, franchise or contractual services, or other services, supplies, materials or equipment of the type utilized by the Districts.

CATEGORY 4

Persons in this category shall disclose reportable business positions in business entities that have a franchise or contract with the Districts or that provide, plan to provide or have provided within two years from the time a statement is required under this Conflict of Interest Code, franchise or contractual services, or other services, supplies, materials or equipment of the type utilized by the Districts.

CATEGORY 5

For consultants who serve in a staff capacity with the Districts, the consultant shall disclose based on the disclosure categories assigned elsewhere in this code for that staff position. For consultants who do not serve in a staff capacity, the following disclosure categories shall be used:

Attachment: IV.C.

Persons required to disclose in this category must disclose pursuant to subcategories A, B, and C below unless the President determines in writing that a particular consultant is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements in categories A, B, or C. Such written determination shall include a description of the consultant's duties and, based upon that description, a statement of the extent of disclosure requirements. The President's determination is a public record and must be retained for public inspection in the same manner and at the same location as the Districts' conflict of interest code.

- A. Reportable interests in real property in the jurisdiction as specified above in Category 1.
- B. Reportable personal and business entity income, as specified above in Category 2.
- C. Reportable investments, as specified above in Category 3.
- D. Reportable business positions, as specified above in Category 4.

Attachment: IV.C.

MARIN PUBLIC FINANCING AUTHORITY

APPENDIX "B"

<u>Designated Positions</u>	<u>Disclosure Categories</u>
Member of Board of Directors	1, 2, 3, 4
Legal Advisor	1, 2, 3, 4
Consultant	5



**APPROVE LIABILITY INSURANCE APPLICATION TO THE CALIFORNIA SANITATION RISK MANAGEMENT AUTHORITY FOR THE MARIN PUBLIC FINANCING AUTHORITY.**

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**BACKGROUND:**

Las Gallinas Valley Sanitary District and Sausalito-Marín City Sanitary District formed the Marin Public Financing Authority, a Joint Powers Authority, to issue bonds in order to fund certain public improvements.

At the January 9, 2017 Sausalito-Marín City Sanitary District (SMCSD) Board meeting, the SMCSD Board adopted Resolution No. 1029 Authorizing the Execution of the Joint Exercise of Power Agreement with Las Gallinas Valley Sanitary District (LGVSD) for the Purpose of Establishing the Marin Public Financing Authority.

At the January 12, 2017 LGVSD Board meeting, the LGVSD Board adopted Resolution No. 2017-2081 for the same issue.

The Joint Exercise of Power Agreement provide as follows:

Section 22. Indemnity. To the extent that liability is imposed or a claim is made on the Authority and/or one or more Members, for any reason whatsoever notwithstanding Section 4(a) hereof and the JPA Act, directly or indirectly arising out of a transaction undertaken by or for the benefit of a Member (the "Indemnifying Member") in connection with the activities of the Authority, the Indemnifying Member shall indemnify, defend and hold harmless the Authority and the other Member or Members (the "Indemnified Parties") and such officers, directors, employees, members and agents of such Indemnified Parties from and against any and all costs, expenses, losses, claims, damages and liabilities arising out of or in connection with the activities of the Authority. An Indemnified Party may elect to defend itself in any such action with counsel of its choice, the reasonable fees of such counsel to be paid by the Indemnifying Member. Notwithstanding the provisions of section 895.6 of the Government Code of the State, no Member shall have any right to contribution from other Members.

Section 23. Waiver of and Indemnity for Personal Liability. No member, officer or employee of the Authority or the Members shall be individually or personally liable for any claims, losses, damages, costs, injury and liability of any kind, nature or description arising from the actions of the Authority or the actions undertaken pursuant to this Agreement, and each Member shall defend such members, officers or employees that are appointed

by such Member against any such claims, losses, damages, costs, injury and liability. Without limiting the generality of the foregoing, no member, officer or employee of the Authority or of any Member shall be personally liable on any Bonds or be subject to any personal liability or accountability by reason of the issuance of Bonds pursuant to the JPA Act and this Agreement. To the full extent permitted by law, each Member shall provide for indemnification of any person who is or was a member of the Board, or an officer, employee or other agent of the Authority that is appointed by such Member, and who was or is a party or is threatened to be made a party to a proceeding by reason of the fact that such person is or was such a member of the Board, or an officer, employee or other agent of the Authority, against expenses, judgments, fines, settlements and other amounts actually and reasonably incurred in connection with such proceeding, if such person acted in good faith and in the course and scope of his or her office, employment or agency. In the case of a criminal proceeding, each Member may provide for indemnification and defense of a member of the Board, or an officer, employee or other agent of the Authority that is appointed by such Member to the extent permitted by law. The foregoing indemnification by a Member in this Section 23 is intended to be reimbursed as appropriate by the indemnity of other Members provided under Section 22.

LGVSD and SMCSO are both members of the California Sanitation Risk Management Authority (CSRMA) and desire to obtain General Liability, Directors and Officers Liability and Public Official's Errors & Omissions Liability insurance coverage. Attached is an application to obtain such coverage for approval.

**RECOMMENDATION:** Approve the attached application for General Liability, Directors and Officers Liability and Public Official's Errors & Omissions Liability insurance coverage from CSRMA on behalf of the Marin Public Financing Authority.



**SUBMITTED BY:**

Susan McGuire, Administrative Services Manager/Treasurer

# Specialty Liability Insurance Program

ALL QUESTIONS MUST BE ANSWERED IN ORDER TO SECURE A QUOTATION

PRODUCER NAME: Alliant Insurance Services, Inc. DATE APPLICATION COMPLETED: \_\_\_\_\_  
AGENCY NAME: Alliant Insurance Services, Inc. NEED BY DATE \_\_\_\_\_  
AGENCY LOCATION: Newport Beach, CA EFFECTIVE DATE \_\_\_\_\_  
PHONE 949-756-0271 FAX 619-699-0902

1) NAMED INSURED: Marin Public Financing Authority  
ADDRESS: 300 Smith Ranch Road  
CITY: San Rafael  
STATE: CA  
ZIP: 94903

2) CONTACT INFORMATION:  
Primary Contact Name Mark R. Williams PHONE 415-472-1033 x11 E-MAIL [mwilliams@lgvsd.org](mailto:mwilliams@lgvsd.org)  
Claims Contact Susan McGuire PHONE 415-472-1033 x19 E-MAIL [smcguire@lgvsd.org](mailto:smcguire@lgvsd.org)  
Loss Control Contact Susan McGuire PHONE 415-472-1033 x19 E-MAIL [smcguire@lgvsd.org](mailto:smcguire@lgvsd.org)  
FAX #:

IS YOUR ENTITY A 501(c) TAX EXEMPT NON-PROFIT CORPORATION? No

HAS THERE BEEN ANY DISPUTE REGARDING THE ENTITY'S TAX-EXEMPT STATUS?  
(if "YES", please attach a detailed explanation) No

IS YOUR ORGANIZATION A PUBLIC ENTITY? Yes

DOES YOUR ENTITY PROVIDE A SERVICE?  
If yes describe. No

DETAILED DESCRIPTION OF ALL OPERATIONS (Please also attach any brochures or pamphlets that outline the operations of the insured):

JPA formed to issue bonds for Las Gallinas Valley Sanitary District and Sausalito-Marín City Sanitary District

URL: \_\_\_\_\_

3) ENTITY CLASSIFICATION  
Entity Information: \_\_\_\_\_ Choose one (Company Use)

4) Are you applying for General Liability Coverage?

Yes

GENERAL LIABILITY

Requested Insurance

Option 1

Option 2

Effective Dates	<u>1/24/2017</u>	Effective Dates	<u>                    </u>
Requested Limits	<u>                    </u>	Requested Limits	<u>                    </u>
Requested Deductibles or SIR	<u>                    </u>	Requested Deductibles or SIR	<u>                    </u>

Rating Information Questionnaire

                    

                    

                    

NA

                    

                    

                    

                    

Population

Number of Volunteers

Employee Count

Is Screening performed for prospective volunteers, employees, or board members?

Total Payroll

Operating Budget

Office Square Footage

Does the entity own, operate, or have responsibility to insure any of the following?

If yes, please click on the hyperlink and it will take you to the specific supplemental application tabs located to the right of the Main App.

No [Streets/Roads](#)

No [Stadiums \(over 5,000 capacity\)](#)

No [Special Events w/1,000 or more attendees](#)

No Airports/Landing Strips/Heliports

No [Watercraft: \(over 26 feet in length\)](#)

No [Marinas/Wharves](#)

No [Recreational Facilities](#)

No Land leased to others

No [Day Care Facilities](#)

No [Dams](#)

No Utilities:

No [Water/Sewer](#)

No [Wastewater](#)

No Housing Authorities:

No Number of Units

No Number of Stories

No Are you responsible for landscape maintenance? If Yes How Many Miles

                    



5)

Are you applying for Automobile Liability Coverage?

No

**AUTOMOBILE LIABILITY**

**Requested Insurance**

**Option 1**

**Option 2**

Effective Dates	_____	Effective Dates	_____
Requested Limits	_____	Requested Limits	_____
Requested Deductibles or SIR	_____	Requested Deductibles or SIR	_____

If you have motor vehicles registered in the name of the organization, please provide the following:

A. CATEGORY	# OF THIS TYPE	% OF THIS TYPE
Private Passenger Cars (up to 10,000 lbs. GVW) - Non Emergency	_____	#DIV/0!
Private Passenger Cars (up to 10,000 lbs. GVW) - Emergency (e.g. Fire, Police)	_____	#DIV/0!
Vans, Pickup Trucks, other Light Trucks (up to 10,000 lbs. GVW)	_____	#DIV/0!
Medium Weight Trucks (10,000 to 20,000 lbs. GVW)	_____	#DIV/0!
Heavy Trucks (20,000 to 50,000 lbs. GVW)	_____	#DIV/0!
Fire Trucks	_____	#DIV/0!
Ambulances	_____	#DIV/0!
Motorcycles	_____	#DIV/0!
Buses	_____	#DIV/0!
Miscellaneous Powered Vehicles	_____ -	#DIV/0!
	<b>Total Automobiles:</b> _____ -	#DIV/0!
Trailers, All Types	_____	100.0%
<b>Hired &amp; Non-owned Only</b>	_____	
<b>How many Volunteers Drive?</b>	_____	

**B. Underwriting Criteria**

1. Describe operations of any passenger vans or buses (including radius, frequency, receipts, etc.):  
\_\_\_\_\_
2. Describe operations of any trucking exposures (including radius, frequency, receipts, etc.):  
\_\_\_\_\_
3. Describe any vehicles modified to handle handicapped or wheelchair passengers:  
\_\_\_\_\_

6) Are you applying for Broadcasters Liability Coverage?

No

**BROADCASTERS LIABILITY:**

**Requested Insurance**

**Option 1**

**Option 2**

Effective Dates  
Requested Limits  
Requested Deductibles or SIR

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Effective Dates  
Requested Limits  
Requested Deductibles or SIR

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Is your entity a Cable Franchise Authority?

\_\_\_\_\_

Is your entity a member of the Alliance for Community Media (ACM)?

\_\_\_\_\_

Does your entity have a process for the oversight of the content of your programming?

\_\_\_\_\_

If YES, please provide details:

\_\_\_\_\_

7) Are you applying for Directors and Officers Liability Coverage?

Yes

**Requested Insurance**

**Option 1**

**Option 2**

Effective Dates  
Requested Limits  
Requested Deductibles or SIR

1/24/2017  
\_\_\_\_\_  
\_\_\_\_\_

Effective Dates  
Requested Limits  
Requested Deductibles or SIR

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Number of Officials:**

**Elected**

0 **Appointed**

4

1. Date of Incorporation/Formation: 1/24/2017
2. Has the proposed Insured been involved in any of the following in the past:  
See additional questions below. [Redacted]
3. Number of Board Members: 4
4. Is screening performed for prospective board members? Yes, they are staff or elected of member agencies

Investigations or inquiries by any Federal, State, or local authorities: No

Civil or criminal actions or administrative proceedings charging violation of any Federal or State law or regulation or any other criminal action: No

Anti-trust litigation: No

8) Are you applying for Public Officials' Errors & Omissions Liability Coverage? Yes

Requested Insurance	Option 1	Option 2
Effective Dates	<u>1/24/2017</u>	_____
Requested Limits	_____	_____
Requested Deductibles or SIR	_____	_____

Number of Officials: 4 Elected \_\_\_\_\_ Appointed 4

9) Are you applying for Employment Practices Liability Coverage? No

Requested Insurance	Option 1	Option 2
Effective Dates	_____	_____
Requested Limits	_____	_____
Requested Deductibles or SIR	_____	_____

**Rating Information Questionnaire**

- A. Number of Full-time employees \_\_\_\_\_
- B. Number of Part-time employees \_\_\_\_\_

The following questions will assist in obtaining a proper employee count:

- 1 If volunteers are covered by your state's workers compensation laws, include in employee count. \_\_\_\_\_
- 2 If elected or appointed officials are paid employees, include in employee count. \_\_\_\_\_
- 3 If seasonal employees are included in employee count, how many? \_\_\_\_\_
- 4 How many months during the year are they utilized? \_\_\_\_\_
- 5 How many of these employees are school employees? \_\_\_\_\_
- 6 How many of these employees are law enforcement employees? \_\_\_\_\_
- 7 How many of these employees are fire department employees? \_\_\_\_\_

C. For each of the past five years, what has been your annual percentage turnover rate of employees?

2012-2013	2013-2014	2014-2015	2015-2016
_____	_____	_____	_____

- D. Percentage of employees with salaries less than \$100,000 \_\_\_\_\_
- Percentage of employees with salaries between \$100,000 & \$360,000 \_\_\_\_\_
- Percentage of employees with salaries greater than \$360,000 \_\_\_\_\_

- 1. Does the Applicant have a director of personnel or other similar position? \_\_\_\_\_
- 2. Has the applicant within the past five years been subject to any suit, inquiry, administrative proceedings or investigation by any local, state or federal agency or governmental entity in connection with charges of discrimination? \_\_\_\_\_



10) **CURRENT PROGRAM INFORMATION** Not Applicable, new entity.

	<i>COVERAGE TYPE</i>	<i>CARRIER NAME</i>	<i>CURRENT LIMITS</i>	<i>CURRENT DEDUCTIBLE - SIR</i>	<i>RETRO DATE</i>	<i>CURRENT PREMIUM</i>
B.	Fire Legal Liability					
C.	Employee Benefits					
D.	Pub Off E&O Liability					
E.	Non-Profit D & O					
F.	Broadcasters E & O					
G.	Educators Legal Liab.					
H.	Employment Practices					
I.	Auto Liability					
J.	Uninsured / Underinsured					
K.	Special Events					
L.						

Signed: \_\_\_\_\_

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

Named Insured: Las Gallinas Valley Sanitary District and Sausalito-Marín City Sanitary District

Agent/Broker Name: \_\_\_\_\_