APPENDIX

CONFLICT OF INTEREST CODE OF THE COUNTY OF SANTA CLARA

EXHIBIT “A”
LIST OF DESIGNATED POSITIONS FOR
COUNTY OF SANTA CLARA DEFINED CONTRIBUTION PLANS COMMITTEE

<table>
<thead>
<tr>
<th>Designated Position</th>
<th>Disclosure Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consultant</td>
<td>2</td>
</tr>
</tbody>
</table>

Pursuant to Government Code section 87200, officials who manage public investments as defined by 2 California Code of Regulations § 18701(b) are subject to the disclosure requirements of the Political Reform Act and are required to file full Statements of Economic Interests. The County has determined that the County of Santa Clara Defined Contribution Plans Committee Members are officials who manage public investments and are therefore subject to filing of Statements of Economic Interests pursuant to Government Code section 87200 et seq. Refer to Exhibit C of the County’s code for the listing of positions subject to Government Code section 87200 filing.
APPENDIX

CONFLICT OF INTEREST CODE OF THE COUNTY OF SANTA CLARA

EXHIBIT “B”
DISCLOSURE CATEGORIES FOR

COUNTY OF SANTA CLARA DEFINED CONTRIBUTION PLANS COMMITTEE

Pursuant to the County of Santa Clara’s Conflict of Interest Code, Disclosure Categories 1 and 2 shall read as follows for all Code Agencies.

**Disclosure Category 1:** Persons in this category shall disclose:

1. all investments in, business positions in, and income (including gifts, loans and travel payments) from:
   
   a. all sources that provide, plan to provide, or have provided in the last two years, facilities, goods, software, hardware, or related technology, equipment, vehicles, machinery or services, including training or consulting services, to the County;
   
   b. all sources that are subject to the regulatory, monitoring, investigatory, enforcement, valuation, certification, permit or licensing authority of, or have an application for a license, permit or certificate pending before, the County;
   
   c. all sources that receive, are planning to apply to receive, or have received in the last two years, grants or other monies from or through the County; and sources that receive referrals to provide assessments and/or treatments that are required or recommended by the County; and

2. all interests in real property in the County of Santa Clara located entirely or partly within the County, or within two miles of County boundaries, or of any land owned or used by the County.

**Disclosure Category 2:** Each Consultant shall disclose: (1) all investments in, business positions in, and income (including gifts, loans and travel payments) from: (a) all sources that provide, plan to provide, or have provided in the last two years, facilities, goods, software, hardware, or related technology, equipment, vehicles, machinery or services, including training or consulting services, to the County; (b) all sources that are subject to the regulatory, monitoring, investigatory, enforcement, valuation, certification, permit or licensing authority of, or have an application for a license, permit or certificate pending before, the County; (c) all sources that receive, are planning to apply to receive, or have
received in the last two years, grants or other monies from or through the County; and sources that receive referrals to provide assessments and/or treatments that are required or recommended by the County; and (2) all interests in real property in the County of Santa Clara located entirely or partly within the County, or within two miles of County boundaries, or of any land owned or used by the County, subject to the following limitation: the Code Agency for which a consultant works may determine in writing, following approval by County Counsel as to form and legality, that the particular consultant is hired to perform a range of duties that is limited in scope and, thus, is not required to comply with the full disclosure requirements described above, but instead must comply with more tailored disclosure requirements specific to that consultant. Such a determination shall include a description of the consultant's duties and, based upon that description, a statement of the extent of disclosure requirements.