

COMPLAINT RECEIVED

The Enforcement Division of the Fair Political Practices Commission received the enclosed complaint, COM-11012019-02418, on 11/1/2019 3:19:00 PM. The information filed in the complaint is below and any attachments filed will be included.

The following individuals are the named parties in this complaint:

Teresa Swafford
Complainant

Shawn Casteel
Respondent

The Violations alleged are:

Subject: Statement of Economic Interests - Leaving Office

Our records indicate that you are leaving your position with the Licensing effective 7/26/2019 12:00:00 AM. As an official or employee whose position is designated in the California Department of Food and Agriculture's (CDFA) Conflict of Interest Code, you are required to file a Leaving Office, Statement of Economic Interests no later than 30 days after the date you leave office.

Please file your Form 700 electronically using the eDisclosure system. The eDisclosure System is secure and password-protected; it assists you with filling out the Form 700 accurately and completely, performing an error-check prior to finalization; and will make it easier for you to comply with reporting requirements, while saving you time.

Upon login you will see the position(s) for which you are required to file. Once you have completed your Form 700, the system will prompt you to submit it electronically.

For explanation of reporting requirements please access the [Reference Pamphlet](#).

Once submitted, your form will be saved in your online e-filing cabinet under "Previous Filings" menu.

Program Location

The location of the system is: <https://www.southtechhosting.com/CDFA/eDisclosure/>

What is my Login ID?

Your Login ID is: shawn.casteel@cdfa.ca.gov

What is my Password?

Existing Filers (*have previously logged into the system*) - If you have previously logged into the system, you have created your own password. If you have forgotten your password, please use the "Forgot Password" feature on the eDisclosure home page. This process will ask you to enter your security question and will generate a temporary password and email it to your email address. If you do not remember your security question, please contact your Filing Official, Lilia Hy, at Lilia.Hy@cdfa.ca.gov to have your password reset your.

If you have any questions regarding this letter, please contact Lilia Hy.

Sincerely,

CDFA's Form 700 Filing Officer



California Department of Food and Agriculture
1220 N Street
Sacramento, CA 95814

August 12, 2019

Subject: Statement of Economic Interests - Leaving Office Two-week Reminder

Dear Shawn Casteel:

Our records indicate that an email was sent to you notifying you of your requirement to file a Leaving Office Statement of Economic Interests - Form 700 (Form 700) for the position you previously held with the Licensing no later than 30 days after the date you left office. Please allow this email to serve as a reminder that you have two-weeks remaining in which to file.

For explanation of reporting requirements please access the [Reference Pamphlet](#).

In order to file your Form 700 you need to login to eDisclosure.

The location of the system is: <https://www.southtechhosting.com/CDFA/eDisclosure/>

Your Login ID is: shawn.casteel@cdfa.ca.gov

What is my Password?

Existing Filers - If you have previously logged into the system, you have created your own password. If you have forgotten your password, please contact your Filing Official, Lilia Hy at Lilia.Hy@cdfa.ca.gov to have your password reset your.

Upon login you will see the position(s) for which you are required to file. Once you have completed your Form 700, the system will prompt you to submit it electronically.

Thank you for your service to the California Department of Food and Agriculture!.

If you have any questions regarding this email, please contact your Filing Official.

Sincerely,

CDFA's Form 700 Filing Officer



California Department of Food and Agriculture
1220 N Street
Sacramento, CA 95814

August 27, 2019

**Subject: Statement of Economic Interests - Leaving Office - Notice of Non-Filing
FIRST NON-FILER NOTIFICATION**

Dear Shawn Casteel:

According to our records, your Leaving Office, Statement of Economic Interests, Form 700 as Environmental Scientist - Range B for Licensing which was due on August 26, 2019, has not been received. Please file immediately. The deadline cannot be extended.

Government Code Section 91013 imposes a \$10.00 per day fine up to a maximum of \$100.00 for the late filing of a Leaving Office, Statement of Economic Interests. However, if you file your statement within 30 days of the date of this letter and submit an explanation for the late filing, all or part of the fine can be waived. State law prohibits the waiving of any portion of a fine if the statement is not filed within 30 days of this letter.

Be advised that if you previously filed late and your fine was waived, any future late fees will not be waived. Because you served in a designated position, it is your personal responsibility to file a leaving office statement on or before the due date.

Please file your statement along with an explanation for the late filing using the eDisclosure System:
<https://www.southtechhosting.com/CDFA/eDisclosure/>.

Hard copies will not be accepted.

If you are unable to locate the "Conflict of Interest eDisclosure Account Creation Notification" email which contained your username and password, please let your filing official, Lilia Hy, know at Lilia.Hy@cdfa.ca.gov and they will reset your password.

Should you have questions, please contact your filing official, Lilia Hy at Lilia.Hy@cdfa.ca.gov.

CDFA's Form 700 Filing Officer



California Department of Food and Agriculture
1220 N Street
Sacramento, CA 95814

September 26, 2019

Shawn Casteel

Licensing

**Subject: Statement of Economic Interests - Leaving Office - Not Filed Within 30 Days of First Notice
SECOND NON-FILER NOTIFICATION**

Dear Shawn Casteel:

On January 1, 0001, you were notified you did not file your Leaving Office, Statement of Economic Interests, Form 700, as a Environmental Scientist - Range B of the Licensing. The original due date was August 26, 2019. You were directed to file your statement within 30 days. However, to date your statement has not been filed.

Government Code Section 91013 provides that any person who files a statement after its deadline shall be liable in the amount of \$10.00 per day, up to a maximum of \$100.00. Furthermore, the California Department of Food and Agriculture prohibits the waiving of any portion of the liability if the statement is not filed within 30 days after the notice of the filing requirement.

Please complete your Leaving Office, Statement of Economic Interests, Form 700, using the eDisclosure system and mail a check/money order, made payable to the California Department of Food and Agriculture, for the amount of \$100.00.

Please send check/money order to:

California Department of Food and Agriculture
Cashiers - MISC. REVENUE
P. O. Box 942872
Sacramento, CA 94271-2872

If you have not filed within 10 days from the date of this letter, this matter will be referred to the Fair Political Practices Commission.

If you have any questions regarding the contents of this letter, or need assistance with the e-file process, please contact your filing official, Lilia Hy, at Lilia.Hy@cdfa.ca.gov.

Sincerely,

CDFA's Form 700 Filing Officer



STATE OF CALIFORNIA
FAIR POLITICAL PRACTICES COMMISSION
1102 Q Street • Suite 3000 • Sacramento, CA 95811

April 8, 2020

Shawn Casteel

Sent via email: [REDACTED]

Warning Letter: FPPC No. 2019-01601; Shawn Casteel

Dear Shawn Casteel:

The Enforcement Division of the Fair Political Practices Commission enforces the provisions of the Political Reform Act (the “Act”).¹ This letter is in response to a referral from the California Department of Food and Agriculture. The Enforcement Division found that as a result of your position as an Environmental Scientist – Range B with the Cal Cannabis Cultivation Licensing Division the Act required you to periodically file a Statement of Economic Interests (“SEI”) and that you failed to timely file your Leaving Office SEI.

Section 87300 of the Act requires every state and local agency to develop a Conflict of Interest Code. This Code requires individuals who participate in making decisions which may foreseeably have a material financial effect on any financial interest belonging to that person to disclose all reportable interests on SEIs.² Individuals required to file SEIs must file within 30 days of assuming office, annually thereafter at the time specified by the Code, and within 30 days of leaving office.³

You violated the Act by failing to file your Leaving Office SEI by the specified deadline. But since you are no longer in office and have not had a prior violation of this section, the Enforcement Division has decided to close your case with this warning letter.

This letter serves as a written warning. The information in this matter will be retained and may be considered should an enforcement action become necessary based on newly discovered information or future conduct. Failure to comply with the provisions of the Act in the future will result in monetary penalties of up to \$5,000 for each violation.

Although the Enforcement Division is closing this case without seeking a penalty, you are still required to file all outstanding SEIs and pay any late filing fees assessed by your filing officer. Please contact your filing officer, Teresa Swafford at teresa.swafford@cdfa.ca.gov, for further information about your required filings. Any future non-filings may result in monetary penalties and this warning letter may be considered in any future enforcement actions.

¹ The Political Reform Act is contained in Government Code sections 81000 through 91014, and all statutory references are to this code. The regulations of the Fair Political Practices Commission are contained in Sections 18110 through 18997 of Title 2 of the California Code of Regulations, and all regulatory references are to this source.

² Section 87302, subd. (b).

³ *Ibid.*

A warning letter is an Enforcement Division case resolution without administrative prosecution or fine. The Commission has adopted Regulation 18360.1 to authorize the Enforcement Division to issue warning letters to conclude cases in specified circumstances. However, the warning letter resolution does not provide you with the opportunity for a probable cause hearing or hearing before an Administrative Law Judge or the Commission. If you wish to avail yourself of these proceedings by requesting that your case proceed with prosecution rather than a warning, please notify us within ten (10) days from the date of this letter. Upon this notification, the Enforcement Division will rescind this warning letter and proceed with administrative prosecution of this case. If we do not receive such notification, this warning letter will be posted on the Commission's website ten (10) days from the date of this letter.

If you have any questions regarding this letter, please contact William Cameron at wcameron@fppc.ca.gov.

Sincerely,



Galena West
Chief, Enforcement Division

GW: wc

cc: California Department of Food and Agriculture via email: teresa.swafford@cdfa.ca.gov

FAIR POLITICAL PRACTICES COMMISSION

CASE CHRONOLOGY

Subject Email: Case Closure 2019-01601: Shawn Casteel
Related To 2019-01601
Name Shawn Casteel
Status Completed

Hide Section - Task

Comments

Task Comments

Comments Additional To: [REDACTED]
CC:
BCC:
Attachment: image001.jpg, image003.jpg, WL .pdf

Subject: Case Closure 2019-01601: Shawn Casteel
Body:

Good Afternoon,

We are proceeding to close the above referenced matter, please see attached.

Sincerely,

[cid:image003.jpg@01D60DAC.33788240]William Cameron
Enforcement Division
CALIFORNIA Fair Political Practices Commission
1102 Q Street, Suite 3000 | Sacramento, CA 95811
(916) 323-6422 | wcameron@fppc.ca.gov

Subject Email: Case Closure 2019-01601: Shawn Casteel

Related To 2019-01601

Name Teresa Swafford
Status Completed

Hide Section - Task

Comments

Task Comments

Comments Additional To: teresa.swafford@cdfa.ca.gov
CC:
BCC:
Attachment: image001.jpg, image003.jpg, WL .pdf

Subject: Case Closure 2019-01601: Shawn Casteel

Body:

Good Morning,

We are proceeding to close the above referenced matter, please see attached.

Sincerely,

[cid:image003.jpg@01D616FE.415C98A0]William Cameron

Enforcement Division

CALIFORNIA Fair Political Practices Commission

1102 Q Street, Suite 3000 | Sacramento, CA 95811

(916) 323-6422 | wcameron@fppc.ca.gov