

DARRYL COTTON

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September 5, 2026

Via email — publicrecords@cannabis.ca.gov

Lullette McManus, Supervisor I
Legal Affairs Division
Department of Cannabis Control
2920 Kilgore Road, Rancho Cordova, California 95670

Re: Government Code section 81008 request — Statements of Economic Interests, Department of Cannabis Control / CalCannabis compliance and licensing officials, 2019–2023; availability date of August 28, 2026 passed without response

Dear Ms. McManus:

I write to follow up on my request of August 26, 2026 under Government Code section 81008, and on my reply to the Department's response that same afternoon at 4:51 p.m. I have had no response to that reply. The full thread — my 9:03 a.m. request, the Department's 3:47 p.m. response, and my 4:51 p.m. reply — is enclosed at **Exhibit A**.

I note that the Department issued determination notices on my two Public Records Act requests on Friday, September 4, at 9:19 a.m. and 9:29 a.m. respectively (**Exhibits C and D**). I take it from that the file is being worked. This request appears to have been left out, and I write to make sure that is an oversight rather than a decision.

Where matters stand.

Section 81008 requires that a statement filed under the Political Reform Act be open for public inspection and reproduction no later than the second business day after the day the request was received. From the Department's August 26 receipt, that date was **Friday, August 28, 2026**. Section 81008 contains no determination period, no ten-day window, and no extension mechanism. Unlike the two requests the Department addressed on September 4, this one cannot be extended, and the date has passed.

The referral does not resolve the request, and the Department's own code is why.

I will not restate my August 26 reply at length. The conflict-of-interest code the Department produced with its 3:47 p.m. response states the point in a single sentence at page 1:

“The Director must file their statements of economic interests electronically with the Fair Political Practices Commission. All other individuals holding designated positions must file their statements with the Department. All statements must be made available for public inspection and reproduction under Government Code, section 81008.”

Exhibit B, page 1. I have accepted the referral as to Nicole Elliott and Clint Kellum in their capacities as Director, and have taken those filings to the Commission. As to every other individual and position identified in my request, the Department is the filing officer by the terms of its own code — including the Compliance Division's Special Investigator and Supervisory Special Investigator classifications, the

Enforcement Division's Investigator and Supervising Investigator classifications, the Deputy Directors of Compliance, Enforcement, Licensing and Legal Affairs, the Assistant Chief Counsel and Attorney classifications, the Chief Deputy Director, and the General Counsel. **Exhibit B**, Appendix A, pages 2 through 7.

One item narrowed.

The Fair Political Practices Commission has produced records establishing that the California Department of Food and Agriculture administered Form 700 filings for CalCannabis Cultivation Licensing designated employees, and identifying that department's filing officer for the program (**Exhibits E and F**). I am directing that portion of my request to CDFA and **withdraw item 1(3) of my August 26 request as to CalCannabis**. I ask only that the Department produce the Bureau of Cannabis Control materials to the extent it holds them, or state in writing that it does not.

What remains outstanding.

Ordered from least to most burdensome:

- 1. The filing officer.** The identity of the Department's filing officer and filing official for purposes of Government Code section 81010 — item 1(4) of my request. This is one sentence, and it settles the balance of this exchange.
- 2. Earlier versions of the conflict-of-interest code.** The version produced was approved by the Commission on November 15, 2022, filed with the Secretary of State on February 1, 2023, and took effect **March 3, 2023 (Exhibit B, certification page)**. The Department has existed since July 2021. Please provide any conflict-of-interest code in effect before March 3, 2023, together with any amendment adopted after it — or, if no code was in effect during that period, please state that in writing. Either answer closes the item.
- 3. Statements the Department holds.** Assuming office, annual, and leaving office Statements of Economic Interests for calendar years 2019 through 2023 for the individuals and designated positions identified in Requests 2 and 3. Where the Department holds no statement for a named individual, a written confirmation of that fact is a complete response and I will not press the item further.
- 4. Requests 4 and 5**, which have not been addressed at all: leaving office statements and the separation records identifying who was required to file them; any written advice, determination, or notice concerning Government Code section 87406 or section 87407; and any record of a recusal, disqualification, or written conflict disclosure, including any Form 806. Form 806 is maintained by the agency rather than by the Commission, so no referral reaches it.

If production will take time, a date certain would resolve most of my concern. If a retrieval fee applies under section 81008 to statements five or more years old, please state the amount before it is incurred.

Preservation.

My preservation request has now gone unacknowledged twice — in the Department's response of August 26 and in its correspondence of September 4. It stands. Government Code section 81009 requires filing

officers to retain original statements for not less than seven years, and statements covering calendar year 2019, filed in 2020, approach the end of that period during 2027. I ask again that the Department preserve and refrain from destroying, transferring, or purging any statement, index, log, or related filing within the scope of my request, pending its completion and any follow-on request or proceeding, and I renew the notice that these records may be relevant to contemplated legal proceedings.

I would rather resolve this in correspondence, and I believe most of it closes with two or three written sentences. I should be straightforward, however, about the alternative rather than leave it implied: Government Code section 91003 permits any person residing in the jurisdiction to sue for injunctive relief to compel compliance with the Political Reform Act, and provides for an award of litigation costs including reasonable attorney's fees. I would prefer the records.

Please treat this as a continuing request. I am available at the number above if any part of the scope would be easier to work through by telephone.

Respectfully,

A handwritten signature in black ink, appearing to read 'Darryl Cotton', with a stylized, flowing script.

Darryl Cotton

EXHIBITS

Cotton — Government Code section 81008 request to the Department of Cannabis Control
(served August 26, 2026; availability date August 28, 2026)

INDEX OF EXHIBITS

Exhibit A [COTTON-DCC-81008-005–011]

Correspondence with the Department — Gmail thread of August 26, 2026: the section 81008 request (9:03 a.m.), the Department's response by L. McManus (3:47 p.m.), and Petitioner's reply (4:51 p.m.). No further message has been received. (Letter at pp. 1–2)

Exhibit B [COTTON-DCC-81008-012–022]

Conflict of Interest Code for the Department of Cannabis Control, produced by the Department with its August 26, 2026 response — FPPC approval November 15, 2022; Secretary of State filing February 1, 2023; effective March 3, 2023. See page 1 and Appendix A. (Letter at pp. 1–2)

Exhibit C [COTTON-DCC-81008-023–026]

Department determination notice of September 4, 2026, 9:19 a.m. — fourteen-day extension claimed on the index and log request served August 25, 2026. (Letter at p. 1)

Exhibit D [COTTON-DCC-81008-027–033]

Department determination notice of September 4, 2026, 9:29 a.m. — fourteen-day extension claimed on the investigative report and licensing records request served August 26, 2026. (Letter at p. 1)

Exhibit E [COTTON-DCC-81008-034–036]

Fair Political Practices Commission, Public Records Act Request No. ENF 2026-144 — cover letter of August 31, 2026, Jack Blattner, Commission Counsel, Enforcement Division. (Letter at p. 2)

Exhibit F [COTTON-DCC-81008-037–046]

Fair Political Practices Commission, Public Records Act Request No. ENF 2026-144 — materials produced August 31, 2026, identifying the California Department of Food and Agriculture as filing officer for CalCannabis Cultivation Licensing designated employees. (Letter at p. 2)

No agency tracking number has been assigned to this request. Bates numbering is the requester's own designation.

A

EXHIBIT A

Correspondence with the Department — Gmail thread of August 26, 2026: the section 81008 request (9:03 a.m.), the Department's response by L. McManus (3:47 p.m.), and Petitioner's reply (4:51 p.m.). No further message has been received. (Letter at pp. 1–2)



Darryl Cotton <151darrylcotton@gmail.com>

Political Reform Act § 81008 request — Statements of Economic Interests, DCC/CalCannabis compliance and licensing officials, 2019–2023

3 messages

Darryl Cotton <151darrylcotton@gmail.com>
To: publicrecords@cannabis.ca.gov

Wed, Aug 26, 2026 at 9:03 AM

This is a request under Government Code § 81008, not under the California Public Records Act. Section 81008 provides that a statement filed under the Political Reform Act “is a public record open for public inspection and reproduction during the filing officer’s regular business hours, commencing as soon as practicable, and no later than **the second business day** after the day it was received.”

Section 81008 further provides that “[c]onditions shall not be imposed upon persons asking to inspect or reproduce reports and statements filed under this title, and information or identification shall not be required from these persons.” Copies are to be provided at a charge not to exceed ten cents (\$0.10) per page, plus a retrieval fee not to exceed five dollars (\$5.00) per request for statements five or more years old. A request for more than one statement at the same time is a single request.

Accordingly, this request is not subject to the ten-day determination period of Government Code § 7922.535, and no showing of purpose, identity, or need is required. I ask that the Department process it on the § 81008 timeline.

Request 1 — Conflict-of-interest code and designated-employee list

Please provide:

1. The Department of Cannabis Control’s current **conflict-of-interest code** adopted under Government Code § 87300 et seq., together with each version in effect from 2021 through the present.
2. The **designated-employee list** and **disclosure categories** appended to that code, for each version.
3. The corresponding conflict-of-interest code, designated-employee list, and disclosure categories for the **CalCannabis Cultivation Licensing** division of the California Department of Food and Agriculture, and for the Bureau of Cannabis Control, as in effect from 2019 until those programs were consolidated into DCC.
4. The identity of the Department’s **filing officer** and **filing official** for purposes of Government Code § 81010.

These records establish which positions are required to file and are necessary for me to frame the balance of this request precisely.

Request 2 — Statements of Economic Interests, named individuals

Please provide all **assuming office**, **annual**, and **leaving office** Statements of Economic Interests (FPPC Form 700), including all schedules, attachments, and amendments, filed with or held by the Department for **calendar years 2019 through 2023 inclusive**, for the following individuals.

Each of the following is identified by name or by position in publicly available records, including a November 19, 2021 resignation email from a DCC/CalCannabis special investigator that was produced under the California Public Records Act and reported by the *Los Angeles Times* on March 3, 2025. I make no allegation of wrongdoing by any person named below; I am requesting public disclosure documents that the Political Reform Act makes available to any member of the public without a showing of cause.

- **Nicole Elliott**, Director, Department of Cannabis Control (and any prior State position for which the Department holds a statement)
- **Richard Parrott**, in his capacity with CalCannabis Cultivation Licensing and/or the Department of Cannabis Control
- **Tabatha Chavez**, in her capacity with the Department of Cannabis Control compliance program
- **Clint Kellum**, Director, Department of Cannabis Control
- **David Hafner**, in his capacity as a Department spokesperson or communications official, if a designated filer

If the Department is not the filing officer for any individual named above, please so state and identify the agency or officer with whom that person's statements are filed.

Request 3 — Statements of Economic Interests, by position

Please provide all assuming office, annual, and leaving office Statements of Economic Interests, including all schedules and amendments, for **calendar years 2019 through 2023 inclusive**, for every person who held any of the following positions during that period, whether in an acting, interim, permanent, or exempt capacity:

1. Director and Chief Deputy Director of the Department of Cannabis Control.
2. Deputy Director, Assistant Deputy Director, and Chief over the Department's **Compliance** and **Enforcement** divisions or branches, however titled.
3. Supervising Special Investigator and Special Investigator Supervisor positions within the Compliance and Enforcement divisions.
4. Deputy Director, Assistant Deputy Director, and Chief over the Department's **Licensing** division or branch, however titled.
5. Chief Counsel and Assistant Chief Counsel.
6. The equivalent positions within **CalCannabis Cultivation Licensing** (CDFA) and the **Bureau of Cannabis Control** for the portion of the period preceding consolidation, to the extent the Department holds those statements.

Request 4 — Leaving office statements and separation records

For the period **January 1, 2019 through December 31, 2023**, please provide:

1. All **leaving office** Statements of Economic Interests filed by persons separating from any position identified in Requests 2 and 3, as required by Government Code § 87204 and the Department's conflict-of-interest code.
2. Any record identifying persons in those positions who **separated from Department or CalCannabis employment** during that period, and the effective date of separation. A roster, personnel-action log, or organizational-chart series showing the change is sufficient; I am not requesting confidential personnel file contents.
3. Any **written advice, determination, or notice** issued by the Department, its Chief Counsel, or the Fair Political Practices Commission to any such person concerning the post-government

employment restrictions of Government Code § 87406 (the Milton Marks Postgovernment Employment Restrictions Act of 1990), or concerning § 87407.

Item 2 is submitted in the alternative under the California Public Records Act to the extent it is not a Political Reform Act filing.

Request 5 — Recusals and disqualifications

Please provide, for the period January 1, 2019 through the present, any record of a **recusal, disqualification, or written disclosure of a conflict** by any person identified in Requests 2 and 3 in connection with a cannabis license application, license issuance, enforcement action, or compliance matter, including any Form 806 (Agency Report of Public Official Appointments) maintained by the Department.

Preservation demand

Government Code § 81009 requires filing officers to retain original reports and statements not otherwise specified for a period of **not less than seven years**, and copies for not less than four years. Statements covering calendar year 2019, filed in 2020, therefore approach the end of the mandatory retention period during 2027.

I request that the Department **preserve, and refrain from destroying, transferring, or purging** all statements, logs, indexes, and related filings within the scope of this request, in whatever form maintained, pending completion of this request and any follow-on request or proceeding. This request is made with the expectation that these records may be relevant to contemplated legal proceedings.

Format and delivery

Electronic delivery is preferred. If the Department maintains any of these filings in an electronic or web-published format, a link or export is acceptable in lieu of copies. If a retrieval fee under § 81008 applies, please advise of the amount before incurring it.

Requester information

Provided voluntarily for delivery purposes only; § 81008 provides that identification shall not be required.

- **Name:** Darryl Cotton
- **Email:** 151darrylcotton@gmail.com
- **Phone:** 619-954-4447
- **Address:** 6176 Federal Blvd., San Diego, CA 92114

Darryl Cotton
619.954.4447

Public Records@Cannabis <publicrecords@cannabis.ca.gov>
To: Darryl Cotton <151darrylcotton@gmail.com>

Wed, Aug 26, 2026 at 3:47 PM

Greetings Darryl,

Thank you for contacting the Department of Cannabis Control (DCC). Please find the DCC Conflict-of-Interest code attached for your reference. Regarding your other inquiry, the Statements of Economic Interests (Form 700) submitted by government officials and employees are managed by the Fair Political Practices Commission (FPPC). To obtain copies of specific Form 700 filings, we recommend contacting the FPPC directly. You can access their website at <https://www.fppc.ca.gov/>.

Best Regards,

Lullette McManus

Supervisor I

Legal Affairs Division

844-61-CA-DCC (844-612-2322)

www.cannabis.ca.gov



Department of
Cannabis Control
CALIFORNIA

Integrity • Fairness • Innovation • Knowledge • Collaboration • Support

From: Darryl Cotton <151darrylcotton@gmail.com>

Sent: Wednesday, August 26, 2026 9:04 AM

To: Public Records@Cannabis <publicrecords@cannabis.ca.gov>

Subject: Political Reform Act § 81008 request — Statements of Economic Interests, DCC/CalCannabis compliance and licensing officials, 2019–2023

*****CAUTION*** THIS EMAIL ORIGINATED OUTSIDE THE DEPARTMENT OF CANNABIS CONTROL!**

DO NOT: Click links or open attachments unless you know the content is safe.

NEVER: Provide credentials on websites via a clicked link in an Email.

[Quoted text hidden]



DCC COI Code FINAL FPPC Approved_SOS Filed.pdf
214K

Darryl Cotton <151darrylcotton@gmail.com>

Wed, Aug 26, 2026 at 4:51 PM

To: "Public Records@Cannabis" <publicrecords@cannabis.ca.gov>

Ms. McManus,

Thank you for the same-day response, and for the conflict-of-interest code.

The code you attached answers the routing question, and it answers it the other way. Page 1 provides:

"The Director must file their statements of economic interests electronically with the Fair Political Practices Commission. **All other individuals holding designated positions must file their statements with the Department.** All statements must be made available for public inspection and reproduction under Government Code, section 81008."

So the referral to the Commission is correct as to Nicole Elliott and Clint Kellum in their capacities as Director, and I will take those two filings to the FPPC. As to everyone else in my request, the Department is the filing officer by the terms of its own code, approved by the Commission on November 15, 2022 and filed with the Secretary of State on February 1, 2023.

Appendix A designates the following positions, among others, and my Requests 2 and 3 run to them:

- Compliance Division — Special Investigator; Supervisory Special Investigator (all levels)
- Enforcement Division — Investigator and Supervising Investigator (all levels)
- Deputy Director — Compliance, Enforcement, Licensing, and Legal Affairs Divisions
- Legal Affairs Division — Assistant Chief Counsel; Attorney (all levels)
- Executive Division — Chief Deputy Director; General Counsel
- External Affairs Division — Information Officer II

I am therefore renewing Requests 2 and 3 as to the statements the Department holds. Where the Department holds no statement for a named individual, a written confirmation of that fact is a complete response to that item and I will not press it further. Where the Department holds no statement for a named individual, a written confirmation of that fact is a complete response to that item and I will not press it further.

Four items from my August 26 letter remain open.

1. The filing officer. Request 1(4) asked the Department to identify its filing officer and filing official for purposes of Government Code § 81010. That has not been answered, and it is the answer that settles everything else in this exchange. One sentence does it.

2. Earlier versions of the code. The code you sent was approved by the Commission on November 15, 2022, filed with the Secretary of State on February 1, 2023, and effective March 3, 2023. Request 1(1) asked for each version in effect from 2021 through the present. The Department has existed since July 2021. Please provide any conflict-of-interest code in effect before March 3, 2023, together with any amendment adopted after it — or, if no code was in effect during that period, please say so in writing. Either answer is a complete answer to that item.

3. Predecessor agencies. Request 1(3) asked for the conflict-of-interest codes, designated-employee lists, and disclosure categories of CalCannabis Cultivation Licensing (CDFA) and the Bureau of Cannabis Control, as in effect from 2019 until those programs were consolidated into the Department. If the Department does not hold those records, or is not the filing officer for Richard Parrott in his CalCannabis capacity, please say so and identify the agency or officer that is.

4. Requests 4 and 5. These were not addressed. They ask for leaving office statements and the separation records identifying who filed them; any written advice, determination, or notice concerning Government Code § 87406 or § 87407; and any record of a recusal, disqualification, or written conflict disclosure, including any Form 806 (Agency Report of Public Official Appointments). Form 806 is maintained and posted by the agency rather than by the Commission, so the referral does not reach it.

On timing: § 81008 requires that responsive statements be open for public inspection and reproduction no later than the second business day after the day the request was received, which from the Department's August 26 receipt is Friday, August 28. I am not asking for the whole of this request by Friday. A date certain for production, together with the one-sentence answer to item 1 above, would let me narrow everything that follows.

If a retrieval fee applies under § 81008 to statements five or more years old, please tell me the amount before it is incurred. The statute caps that fee at five dollars per request, and a request for more than one statement at the same time is a single request.

Finally, my preservation request from the August 26 letter was not addressed in your reply. It stands, and I renew it.

COTTON-DCC-81008-010

9/5/26, 9:34 AM

Gmail - Political Reform Act § 81008 request — Statements of Economic Interests, DCC/CalCannabis compliance and licensing offici...

Thank you again for the quick turnaround.

[Quoted text hidden]

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Darryl Cotton
619.954.4447

B

EXHIBIT B

Conflict of Interest Code for the Department of Cannabis Control, produced by the Department with its August 26, 2026 response — FPPC approval November 15, 2022; Secretary of State filing February 1, 2023; effective March 3, 2023. See page 1 and Appendix A. (Letter at pp. 1–2)

CONFLICT OF INTEREST CODE FOR THE DEPARTMENT OF CANNABIS CONTROL

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 (California Code of Regulations, title 2, section 18730) that contains the terms of a standard conflict of interest code, which can be incorporated by reference in an agency's code. After public notice and hearing, the standard code may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act. Therefore, the terms of California Code of Regulations, title 2, section 18730, and any amendments thereto duly adopted by the Fair Political Practices Commission, are hereby incorporated by reference. This regulation and the attached Appendices, designating positions and establishing disclosure categories, shall constitute the conflict of interest code of the Department of Cannabis Control (Department or DCC).

The Director must file their statements of economic interests electronically with the **Fair Political Practices Commission**. All other individuals holding designated positions must file their statements with the **Department**. All statements must be made available for public inspection and reproduction under Government Code, section 81008.

Authority: Section 26013, Business and Professions Code; Section 87300, Government Code. Reference: Section 87300 et seq., Government Code.

Administration Division

<u>Designated Position</u>	<u>Disclosure Category</u>
<u>Deputy Director's Office</u>	
Deputy Director	1
Staff Services Manager I (Specialist)	2
<u>Branch Chief Offices (Financial Management/Human Resources/Operations)</u>	
Staff Services Manager (all levels)	2
<u>Budgets</u>	
Staff Service Manager II	2
State Service Manager I (Specialist)	2
<u>Personnel</u>	
Staff Service Manager (all levels)	2
<u>Acquisitions</u>	
Associate Governmental Program Analyst	2
Staff Service Manager I	2
<u>Business Services</u>	
Staff Services Analyst	2
Operations Manager II	2

Compliance Division

<u>Designated Position</u>	<u>Disclosure Category</u>
Deputy Director	1
CEA A	3
Environmental Program Manager (all levels/specifications)	3
Environmental Scientist	3
Senior Environmental Scientist (Supervisory)	3
Special Investigator	3
Supervisory Special Investigator (all levels/specifications)	3
Staff Service Manager I	3
Associate Management Auditor	3

Enforcement Division

<u>Designated Position</u>	<u>Disclosure Category</u>
Deputy Director	1
Investigator (all levels/specifications)	3
Supervising Investigator (all levels/specifications)	3

Equity and Inclusion Division

<u>Designated Position</u>	<u>Disclosure Category</u>
Deputy Director	1
Attorney (all levels)	1

Executive Division

<u>Designated Position</u>	<u>Disclosure Category</u>
Director	1
Chief Deputy Director	1
General Counsel	1
Staff Services Manager (Specialist)	2
 <u>Equal Employment Opportunity (EEO) Office</u>	
Staff Services Manager II (Managerial)	1
 <u>Office of Policy and Research</u>	
CEA A	1
Staff Services Manager (all levels)	3
Associate Governmental Program Analyst	3

External Affairs Division

<u>Designated Position</u>	<u>Disclosure Category</u>
Deputy Director	1
CEA A	3
Staff Services Manager (all levels)	3
Information Officer II	3

Information Technology Services Division

<u>Designated Position</u>	<u>Disclosure Category</u>
Deputy Director/Chief Information Officer	1
 <u>Information Security</u>	
IT Manager I	2
 <u>Infrastructure & Enterprise Services</u>	
IT Manager I	2
IT Supervisor II	2
 <u>IT Application</u>	
IT Manager I	2
IT Specialist II	2
IT Supervisor II (all specifications)	2
 <u>California Cannabis Track and Trace (CCTT) / Licensing Systems</u>	
Staff Services Manager II	2
Staff Services Manager I (all specifications)	2

Laboratory Division

<u>Designated Position</u>	<u>Disclosure Category</u>
Deputy Director	1
Research Scientist Supervisor II	3
Research Scientist (all level/specifications)	3
Environmental Program Manager I (Supervisory)	3
Senior Environmental Scientist (Supervisory)	3
Senior Environmental Scientist (Specialist)	3
Environmental Scientist	3

Legal Affairs Division

<u>Designated Position</u>	<u>Disclosure Category</u>
Deputy Director	1
Assistant Chief Counsel	1
Attorney (all levels)	1
Staff Services Manager I	3
Staff Management Auditor I (Supervisory)	3
Associate Management Auditor	3

Legislative and Governmental Affairs Division

<u>Designated Position</u>	<u>Disclosure Category</u>
Deputy Director	1
Staff Services Manager I (Specialist)	3

Licensing Division

<u>Designated Position</u>	<u>Disclosure Category</u>
Deputy Director	1
Environmental Program Manager I	3
Senior Environmental Scientist (Supervisor)	3
Staff Services Manager (all levels)	3
Consultants and New Positions	*

APPENDIX A – DISCLOSURE CATEGORIES

***Consultants and new positions** shall be included in the list of designated positions and shall disclose pursuant to the broadest disclosure category in this code (i.e., Category 1), subject to the following limitation:

The Director or any employee designated by the Director 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 comply with the disclosure requirements described in this section. Such 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 Department’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. (Government Code, section 81008.)

Category 1 – All Interests/Full Disclosure

Designated positions assigned to this category must report investments, real property, business positions, and sources of income (including gifts, loans, and travel payments).

Category 2 – Procurement-Related Interests

Designated positions assigned to this category must report investments, business positions, and sources of income (including gifts, loans, and travel payments) if the business entity or source provides any goods (including facilities, vehicles, machinery, office supplies, or other equipment; and software or other Information Technology products) or services (including training or consulting services, and Software-as-a-Service or other IT support services) of the type used by the Department.

Category 3 – Regulated-Business Interests

Designated officials or employees assigned to this category must report:

- (a) Real property within a local jurisdiction in which entities subject to the licensing or other regulatory jurisdiction of the Department may lawfully operate; and
- (b) investments, business positions, and sources of income (including gifts, loans, and travel payments) if the business entity or source is either of the following:
 - (1) An entity subject to the licensing or other regulatory jurisdiction of the Department. This specifically includes, but is not limited to, an individual or other entity that has sought or received any license of any kind from the Department, as well as an individual or other entity that has engaged in activity requiring such a license (even if the individual or entity has failed to seek a license for that activity).
 - (2) Any officer, employee, or owner (as defined in California Code of Regulations, title 4, section 15003, or any successor regulation) of, or any holder of a financial interest (as defined in California Code of Regulations,

title 4, section 15004, or any successor regulation) in, an entity subject to the licensing or other regulatory jurisdiction of the Department.

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



CERTIFICATION OF FPPC APPROVAL

Pursuant to Government Code Section 87303, the conflict of interest code for the
was approved on

Sukhi K. Brar

Assistant Chief Counsel

Fair Political Practices Commission

Pursuant to Government Code Section 11346.2:

Secretary of State Filing Date:

Effective:

C

EXHIBIT C

Department determination notice of September 4, 2026, 9:19 a.m. — fourteen-day extension claimed on the index and log request served August 25, 2026. (Letter at p. 1)



Darryl Cotton <151darrylcotton@gmail.com>

PRA request — index/log of requests submitted by Paige St. John / Los Angeles Times concerning DCC investigator resignation and related investigation

2 messages

Darryl Cotton <151darrylcotton@gmail.com>
To: publicrecords@cannabis.ca.gov

Tue, Aug 25, 2026 at 2:20 PM

Pursuant to the California Public Records Act, please provide an existing index, log, database export, tracking record, or other record maintained by the Department of Cannabis Control identifying Public Records Act requests submitted by Paige St. John and/or the Los Angeles Times.

Please search for requests submitted by Paige St. John, the Los Angeles Times, or an identifiable Los Angeles Times requester, from January 1, 2021 through the present, that concern any of the following subjects:

- the November 19, 2021 resignation or exit email from a DCC/CalCannabis special investigator;
- the "DCC Exit Email" or "DCC Exit Email" correspondence;
- the special investigator assigned to Mendocino County;
- allegations concerning DCC compliance or enforcement practices described in or arising from that resignation;
- the alleged "no source" program, CCTT/METRC, diversion of cannabis, or the approximately \$90 million figure;
- the investigation involving approximately 75,977 plants, two companies, nursery licenses, falsified CCTT records, or the site containing approximately 20 tons of unlicensed cannabis;
- the referral of allegations to the California Department of Justice, Business, Consumer Services and Housing Agency, or related follow-up.

For each responsive PRA request, please provide the request number or tracking number, submission date, requester name as recorded, subject/title, description/scope of the request, status/closure date if available, and any other non-exempt metadata contained in the existing PRA tracking record.

If DCC maintains a separate index or log of closed PRA requests, please provide the portions responsive to the above criteria. If DCC does not maintain a searchable index, please provide any existing records that identify or allow identification of these requests.

I am specifically seeking the request identification information first so that I can subsequently identify particular productions for follow-up requests.

Scope / clarification

This request seeks existing records maintained in the ordinary course of business, such as PRA request logs, indexes, tracking records, intake records, correspondence, and request metadata. It does not seek reporter notes, confidential source identities, privileged communications, or other records protected by applicable law.

If any portion of this request is unclear or overly broad, please contact me so that I can narrow or clarify it. If responsive records are maintained electronically, I prefer electronic delivery.

Darryl Cotton
619.954.4447

COTTON-DCC-81008-024

Public Records@Cannabis <publicrecords@cannabis.ca.gov>
To: Darryl Cotton <151darrylcotton@gmail.com>

Fri, Sep 4, 2026 at 9:19 AM

Greetings Darryl,

Thank you for contacting the Department of Cannabis Control (DCC). The DCC is in receipt of your request pursuant to the California Public Records Act. Specifically, you requested an existing index, log, database export, tracking record, or other record maintained by the DCC identifying Public Records Act requests submitted by Paige St. John and/or the Los Angeles Times from January 1, 2021, through the present, that concern any of the following subjects:

- The November 19, 2021, resignation or exit email from a DCC/Calcannabis special investigator.
- The "DCC Exit Email" or "DCC Exit Email" correspondence.
- The special investigator assigned to Mendocino County.
- Allegations concerning DCC compliance or enforcement practices described in or arising from that resignation.
- The alleged "no source" program, CCTT/METRC, diversion of cannabis, or the approximately \$90 million figure.
- The investigation involving approximately 75,977 plants, two companies, nursery licenses, falsified CCTT records, or the site containing approximately 20 tons of unlicensed cannabis.
- The referral of allegations to the California Department of Justice, Business, Consumer Services and Housing Agency, or related follow-up.

The DCC is in the process of gathering, collecting, and reviewing records for applicable exemptions to determine if your request seeks any disclosable records, and will require an additional 14 days to make such a determination.

Regards,

Lullette McManus

Supervisor I

Legal Affairs Division

844-61-CA-DCC (844-612-2322)

www.cannabis.ca.gov



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From: Darryl Cotton <151darrylcotton@gmail.com>

Sent: Tuesday, August 25, 2026 2:20 PM

To: Public Records@Cannabis <publicrecords@cannabis.ca.gov>

Subject: PRA request — index/log of requests submitted by Paige St. John / Los Angeles Times concerning DCC investigator resignation and related investigation

*****CAUTION*** THIS EMAIL ORIGINATED OUTSIDE THE DEPARTMENT OF CANNABIS CONTROL!**

DO NOT: Click links or open attachments unless you know the content is safe.

NEVER: Provide credentials on websites via a clicked link in an Email.

[Quoted text hidden]

D

EXHIBIT D

Department determination notice of September 4, 2026, 9:29 a.m. — fourteen-day extension claimed on the investigative report and licensing records request served August 26, 2026. (Letter at p. 1)



Darryl Cotton <151darrylcotton@gmail.com>

PRA request — investigative report and licensing records concerning the CCTT falsification investigation described in the November 19, 2021 DCC exit email

2 messages

Darryl Cotton <151darrylcotton@gmail.com>
To: publicrecords@cannabis.ca.gov

Wed, Aug 26, 2026 at 9:13 AM

Background and basis for this request

On November 19, 2021, a DCC/CalCannabis special investigator assigned to Mendocino County sent a resignation or exit email to Director Nicole Elliott. That email was produced by the Department under the California Public Records Act and was reported by the *Los Angeles Times* on March 3, 2025. In it, the investigator states that he or she “personally led the investigation, wrote an extensive investigative report, as well as gave Compliance leadership powerpoint briefings on 2 companies using nursery licenses to falsify CCTT records for 75,977 plants that were grown illegally and then inverted into the CCTT system via falsified CCTT transfers after obtaining state licenses,” and that “[a]n application site for 1 of these companies contained 20 tons of unlicensed cannabis.” The email further states that “the location eradicated by law enforcement received state licenses weeks later,” and that no citation or license action was ever taken.

This request seeks the Department’s own records concerning that investigation and the licensing decisions described. Because the Department has already publicly released the email itself, the existence and general subject matter of these records is established on the public record.

Item 1 — The investigative report and briefings

1. The **investigative report** referenced in the November 19, 2021 exit email, concerning two companies alleged to have used nursery licenses to falsify CCTT/METRC records for approximately 75,977 plants, together with all exhibits, attachments, photographs, and appendices.
2. All **PowerPoint or other briefing materials** presented to Compliance leadership concerning that investigation, and any agenda, calendar entry, sign-in sheet, or notes reflecting when those briefings occurred and who attended.
3. All **case files, activity logs, inspection reports, and enforcement case records** associated with that investigation, including the assigned case, incident, or complaint number.
4. Any **supervisory review, routing, transmittal, closure memorandum, or disposition record** for that investigation.

Item 2 — Identification of the licensees and the site

5. Records **sufficient to identify** the two companies described in Item 1, and the application site described as containing approximately 20 tons of unlicensed cannabis, including license numbers, application numbers, premises addresses, and legal entity names.
6. Records sufficient to identify the **law enforcement eradication or search warrant** at the site described, including the date, the participating agencies, and any DCC or CalCannabis report generated from it.

Item 3 — Application and ownership records for the identified licensees

For each license and application identified in Item 2:

7. The **complete application file**, including all applications, amendments, supplements, and correspondence.
8. All **owner disclosures** submitted under Business and Professions Code § 26051.5, including the identity of every person disclosed as an owner under each subdivision of § 26001(ap).
9. All **financial interest holder disclosures** submitted under California Code of Regulations, title 4, § 15004, and all ownership and organizational-structure documents submitted under § 15003.
10. All **criminal history background check records, Live Scan results, and convictions-review determinations** conducted in connection with those applications, together with records showing which disclosed persons were and were not background-checked.
11. All **license issuance, renewal, denial, suspension, or revocation decisions** for those licenses, and any staff analysis or recommendation underlying them.
12. Any record reflecting the Department's or CalCannabis's **awareness of the eradication or the investigation** at the time the licenses were issued or renewed.

Item 4 — Track-and-trace records

13. All **CCTT/METRC transfer records, manifests, adjustments, reversals, corrections, and audit-trail exports** associated with the licenses identified in Item 2, for the period of the alleged falsification.
14. Any **CCTT/METRC audit, reconciliation, or data-integrity review** conducted by the Department or its contractor concerning those licenses.
15. Any Department policy, procedure, or guidance governing **correction or reversal of falsified CCTT entries**, and any record of such correction being applied — or a statement that none was.

Item 5 — The “no source” / amnesty program

16. All **policy documents, memoranda, directives, guidance, training materials, and email instructions** concerning the practice referred to in the exit email as “no source approval,” “no-source entry,” or an amnesty or transition program permitting cannabis of unverified origin to be entered into CCTT/METRC, for the period January 1, 2019 through December 31, 2022.
17. Records sufficient to show the **volume and value** of cannabis entered under that practice, including any record supporting or derived from the approximately **\$90 million** figure reported in connection with the exit email.
18. Any **log, tracking sheet, or approval record** identifying the licensees who received such approvals and the persons who granted them.
19. Any record reflecting **who authorized** the practice, when it was adopted, and when and by whom it was discontinued.

Item 6 — Eradication-to-licensure pattern

20. For the period January 1, 2019 through December 31, 2022, any record — including a list, report, spreadsheet, database export, or analysis — identifying applicants or licensees who were the **subject of a search warrant, eradication, or enforcement action** and who were **subsequently issued a State cannabis license**.
21. Any **internal analysis, audit, or correspondence** concerning that pattern, including any assessment of its effect on licensing decisions.

Item 7 — The Director's response and the referral

22. The **complete email chain** containing the November 19, 2021 exit email, including Director Elliott's reply requesting further information regarding the allegation of a potential violation of state law, any response from the investigator, and any internal forwarding or discussion of that email through December 31, 2022.

23. All records concerning the Department's or the **Business, Consumer Services and Housing Agency's referral** of any allegation arising from that email to the California Department of Justice or the Office of the Attorney General, including the referral itself, transmittal correspondence, and any record specifying **which allegation or allegations were referred**.

24. All records the Department **received from or sent to** the Department of Justice or the Office of the Attorney General concerning that review, including notice of its closure in February 2022.

25. Any record of **enforcement, discipline, citation, or license action taken as a result of** the investigation described in Item 1 — or, if none exists, a statement to that effect under Government Code § 7922.540.

Anticipated objections

I raise the following in advance so that the Department need not restate them and so that any dispute is narrowed early:

- **Segregability.** Government Code § 7922.525 requires that any reasonably segregable portion of a record be released after deletion of exempt material. A blanket withholding of an entire file is not a permissible response where redaction would suffice.
- **Express exemption required.** Government Code § 7922.540 requires that any denial state the **express provision** of law relied upon. A general assertion of confidentiality or of "investigatory records" without a section citation and a record-by-record application is not responsive.
- **Investigatory records.** To the extent the Department relies on Government Code § 7923.600, that exemption is directed to concrete investigations and does not extend categorically to underlying **licensing, application, ownership, background-check, or track-and-trace records**, which are created in the ordinary course of the Department's licensing function rather than compiled for a law enforcement investigation. Items 3, 4, 5, and 6 are directed to that ordinary-course licensing material.
- **Deliberative process.** Any reliance on Government Code § 7922.000 requires the Department to demonstrate on the facts that the public interest in nondisclosure clearly outweighs the public interest in disclosure. Given that the Department has already released the exit email, and given the substantial public interest in whether licenses were issued to operators the Department itself had investigated, I ask that the Department state its balancing on the record.
- **Withholding log.** If any record is withheld in whole or in part, please provide a log identifying the record by date, author, recipient, and general subject, and the exemption claimed for each.

Preservation demand

I request that the Department **preserve and refrain from destroying, purging, overwriting, or transferring** all records within the scope of this request, including electronic mail, CCTT/METRC data, backup media, and departed employees' mailboxes and network storage, pending completion of this request and any follow-on request or proceeding. This request is made with the expectation that these records may be relevant to contemplated legal proceedings.

Scope and clarification

This request seeks existing records maintained in the ordinary course of business. It does not seek reporter notes, confidential source identities, records protected by the attorney-client privilege, or the personal identifying information of the individual who authored the November 19, 2021 email, whose identity may be redacted from the records produced. If any portion of this request is unclear or is considered overly broad, please contact me so that I can narrow or clarify it rather than deny it. If responsive records are maintained electronically, I prefer electronic delivery in native format with metadata intact.

Requester information

- **Name:** Darryl Cotton
- **Email:** 151darrylcotton@gmail.com
- **Phone:** 619-954-4447
- **Address:** 6176 Federal Blvd., San Diego, CA 92114

Darryl Cotton
619.954.4447

Public Records@Cannabis <publicrecords@cannabis.ca.gov>
To: Darryl Cotton <151darrylcotton@gmail.com>

Fri, Sep 4, 2026 at 9:29 AM

Greetings Darryl,

Thank you for contacting the Department of Cannabis Control (DCC). The DCC is in receipt of your request pursuant to the California Public Records Act. Specifically, you requested the following:

➤ Item 1 — The investigative report and briefings

- The investigative report referenced in the November 19, 2021, exit email, concerning two companies alleged to have used nursery licenses to falsify CCTT/METRC records for approximately 75,977 plants, together with all exhibits, attachments, photographs, and appendices.
- All PowerPoint or other briefing materials presented to Compliance leadership concerning that investigation, and any agenda, calendar entry, sign-in sheet, or notes reflecting when those briefings occurred and who attended.
- All case files, activity logs, inspection reports, and enforcement case records associated with that investigation, including the assigned case, incident, or complaint number.
- Any supervisory review, routing, transmittal, closure memorandum, or disposition record for that investigation.

➤ Item 2 — Identification of the licensees and the site

COTTON-DCC-81008-031

- Records sufficient to identify the two companies described in Item 1, and the application site described as containing approximately 20 tons of unlicensed cannabis, including license numbers, application numbers, premises addresses, and legal entity names.
 - Records sufficient to identify the law enforcement eradication or search warrant at the site described, including the date, the participating agencies, and any DCC or CalCannabis report generated from it.
- **Item 3 — Application and ownership records for the identified licensees**
- For each license and application identified in Item 2:
 - The complete application file, including all applications, amendments, supplements, and correspondence.
 - All owner disclosures submitted under Business and Professions Code § 26051.5, including the identity of every person disclosed as an owner under each subdivision of § 26001(ap).
 - All financial interest holder disclosures submitted under California Code of Regulations, title 4, § 15004, and all ownership and organizational-structure documents submitted under § 15003.
 - All criminal history background check records, Live Scan results, and convictions-review determinations conducted in connection with those applications, together with records showing which disclosed persons were and were not background-checked.
 - All license issuance, renewal, denial, suspension, or revocation decisions for those licenses, and any staff analysis or recommendation underlying them.
 - Any record reflecting the Department's or CalCannabis's awareness of the eradication or the investigation at the time the licenses were issued or renewed.
- **Item 4 — Track-and-trace records**
- All CCTT/METRC transfer records, manifests, adjustments, reversals, corrections, and audit-trail exports associated with the licenses identified in Item 2, for the period of the alleged falsification.
 - Any CCTT/METRC audit, reconciliation, or data-integrity review conducted by the Department or its contractor concerning those licenses.
 - Any Department policy, procedure, or guidance governing correction or reversal of falsified CCTT entries, and any record of such correction being applied — or a statement that none was.
- **Item 5 — The “no source” / amnesty program**
- All policy documents, memoranda, directives, guidance, training materials, and email instructions concerning the practice referred to in the exit email as “no source approval,” “no-source entry,” or an amnesty or transition program permitting cannabis of unverified origin to be entered into CCTT/METRC, for the period January 1, 2019, through December 31, 2022.
 - Records sufficient to show the volume and value of cannabis entered under that practice, including any record supporting or derived from the approximately \$90 million figure reported in connection with the exit email.
 - Any log, tracking sheet, or approval record identifying the licensees who received such approvals and the persons who granted them.
 - Any record reflecting who authorized the practice, when it was adopted, and when and by whom it was discontinued.
- **Item 6 — Eradication-to-licensure pattern**
- For the period January 1, 2019, through December 31, 2022, any record — including a list, report, spreadsheet, database export, or analysis — identifying applicants or licensees who were the subject of a search warrant, eradication, or enforcement action and who were subsequently issued a State cannabis license.
 - Any internal analysis, audit, or correspondence concerning that pattern, including any assessment of its effect on licensing decisions.
- **Item 7 — The Director's response and the referral**
- The complete email chain containing the November 19, 2021, exit email, including Director Elliott's reply requesting further information regarding the allegation of a potential violation of state law, any response from the investigator, and any internal forwarding or discussion of that email through December 31, 2022.
 - All records concerning the Department's or the Business, Consumer Services and Housing Agency's referral of any allegation arising from that email to the California Department of Justice or the Office of the Attorney General, including the referral itself, transmittal correspondence, and any record specifying which allegation or allegations were referred.
 - All records the Department received from or sent to the Department of Justice or the Office of the Attorney General concerning that review, including notice of its closure in February 2022.

- Any record of enforcement, discipline, citation, or license action taken as a result of the investigation described in Item 1 — or, if none exists, a statement to that effect under Government Code § 7922.540.

The DCC is in the process of gathering, collecting, and reviewing records for applicable exemptions to determine if your request seeks any disclosable records, and will require an additional 14 days to make such a determination.

Regards,

Lullette McManus

Supervisor I

Legal Affairs Division

844-61-CA-DCC (844-612-2322)
www.cannabis.ca.gov



Integrity • Fairness • Innovation • Knowledge • Collaboration • Support

From: Darryl Cotton <151darrylcotton@gmail.com>

Sent: Wednesday, August 26, 2026 9:14 AM

To: Public Records@Cannabis <publicrecords@cannabis.ca.gov>

Subject: PRA request — investigative report and licensing records concerning the CCTT falsification investigation described in the November 19, 2021 DCC exit email

*****CAUTION*** THIS EMAIL ORIGINATED OUTSIDE THE DEPARTMENT OF CANNABIS CONTROL!**

DO NOT: Click links or open attachments unless you know the content is safe.
NEVER: Provide credentials on websites via a clicked link in an Email.

[Quoted text hidden]

E

EXHIBIT E

Fair Political Practices Commission, Public Records Act Request No. ENF 2026-144 —
cover letter of August 31, 2026, Jack Blattner, Commission Counsel, Enforcement
Division. (Letter at p. 2)



STATE OF CALIFORNIA
FAIR POLITICAL PRACTICES COMMISSION
1102 Q Street • Suite 3050 • Sacramento, CA 95811 • (916) 322-5660

August 31, 2026

Darryl Cotton

Sent via email only: 151darrylcotton@gmail.com

Re: Public Records Act - Request No. ENF 2026-144

Dear Darryl Cotton :

This letter is in response to your request for public records under the California Public Records Act (Gov. Code, §7920.000 *et seq.*) that was sent to and received by the Fair Political Practices Commission (the “Commission”) on August 26, 2026.

You made the following request:

"Request 2 — Statements of Economic Interests, named individuals

For calendar years 2019 through 2023 inclusive, please provide all assuming office, annual, and leaving office Statements of Economic Interests (FPPC Form 700), including all schedules, attachments, and amendments, held by the Commission for the individuals below.

If the Commission holds no responsive statements for a given individual, please state that in writing rather than treating the item as denied. A written confirmation of no records is a sufficient and complete response to this item.

- *Nicole Elliott, Director, Department of Cannabis Control, and any prior State position for which the Commission holds a statement*
- *Richard Parrott, in his capacity with CalCannabis Cultivation Licensing and/or the Department of Cannabis Control*
- *Tabatha Chavez, in her capacity with the Department of Cannabis Control compliance program*
- *Clint Kellum, Director, Department of Cannabis Control*

Request 6 — Enforcement records (submitted under the CPRA)

To the extent not exempt, please provide records identifying any closed Commission enforcement matter, stipulation, decision, or warning letter involving the Department of Cannabis Control, CalCannabis Cultivation Licensing, the Bureau of Cannabis Control, or any individual named in Request 2, from January 1, 2019 through the present.

I understand that records of open or pending investigations may be withheld. This item is directed to closed matters and to the Commission's public enforcement dispositions. If any

portion is withheld, please state the express provision relied upon as required by Government Code § 7922.540, and release any reasonably segregable portion under § 7922.525."

The California Public Records Act exempts from disclosure "(r)ecords, the disclosure of which is exempted or prohibited pursuant to federal or state law..." under Government Code Section 7927.705. Accordingly, we are required to redact or mask personal and confidential information such as email addresses and residential addresses. (The Information Practices Act under Civil Code §§1798.3, 1798.24, and 1798.42; and the Right of Privacy under the California Constitution, Article I, Section 1.). Pursuant to California Code of Civil Procedure Section 2018.030 and Government Code Section 7927.705, we have removed protected work product.

Additionally, Government Code Section 7922.000 permits agencies to withhold records when the public interest served by withholding the records clearly outweighs the public interest served by disclosure. Therefore, we have removed documents that are reflective of the agency's deliberative process. (See *Times Mirror v. Superior Court* (1991) 53 Cal.3d 1325.) The person responsible for these determinations was Jack Blattner, Commission Counsel, as required pursuant to Section 7922.540.

We conducted a thorough search and attached materials responsive to your request. Your request and our response are public records, which may be disclosed to the public upon receipt of a proper request for disclosure. If you have any questions regarding this matter, please contact me at jblattner@fppc.ca.gov.

Sincerely,

Jack Blattner

Jack Blattner
Commission Counsel
Enforcement Division

F

EXHIBIT F

Fair Political Practices Commission, Public Records Act Request No. ENF 2026-144 — materials produced August 31, 2026, identifying the California Department of Food and Agriculture as filing officer for CalCannabis Cultivation Licensing designated employees. (Letter at p. 2)

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



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



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