

# **STATE ETHICS COMMISSION**

## **User Guide to Electronic Filing Application for Statements of Financial Interests**

Dated: May 9, 2016

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## I. INTRODUCTION

The State Ethics Commission (“Commission”) has designed and developed a new Statement of Financial Interests (“SFI”) Filing Application (“SFI system”) which will allow you to complete, certify, and submit your calendar year (“CY”) 2015 SFI online. After you file, you will be able to print a filing receipt showing the date and time you filed. In addition, you will be able to view a copy of your completed SFI as well as a redacted copy of your SFI. The redacted copy is the version that the Commission will provide if an inspection request is made for a copy of your filing. Please note that if such a request is made, you will receive written notice of that request, including the name and affiliation, if applicable, of the requestor.

Using the SFI system, you will now have the capability to:

- view a copy of your CY 2014 SFI for reference;
- amend your CY 2015 SFI, if necessary;
- update your address and other contact information in your personal profile; and
- receive SFI-related notices and filing reminders from the Commission as well as from your agency.

If you need assistance with, or have any questions about, the SFI system, please contact any of the following Commission staff members:

Robert Milt, Financial Disclosure Administrator and Analyst

(617) 371-9512

[Robert.Milt@state.ma.us](mailto:Robert.Milt@state.ma.us)

Tony Webb, IT Specialist

(617) 371-9526

[Tony.Webb@state.ma.us](mailto:Tony.Webb@state.ma.us)

Lauren Duca, Deputy Chief/SFI

(617) 371-9503

[Lauren.Duca@state.ma.us](mailto:Lauren.Duca@state.ma.us)

In addition, if you have any questions about what you need to disclose on your CY 2015 SFI, or if you have any concerns regarding accessibility, including the use of screen reading software, please contact:

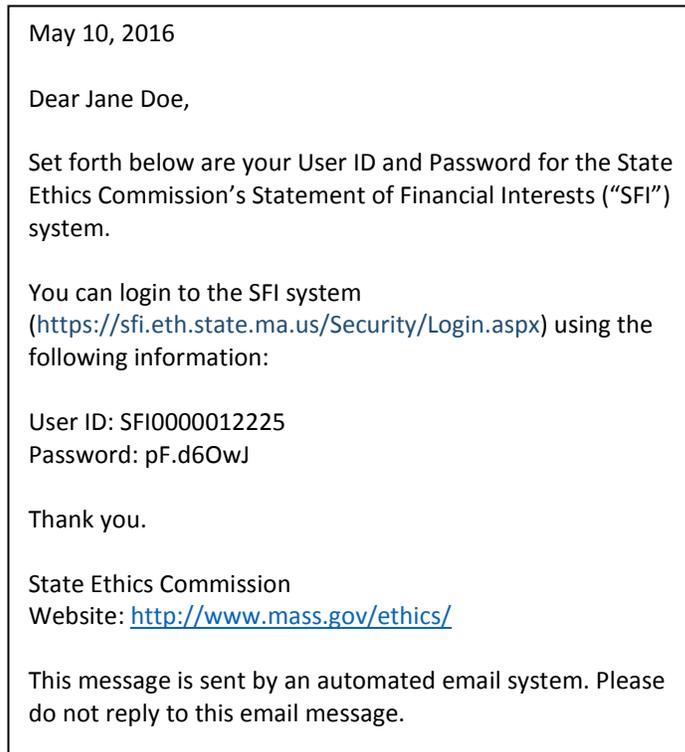
Lauren Duca, Deputy Chief/SFI

(617) 371-9503

[Lauren.Duca@state.ma.us](mailto:Lauren.Duca@state.ma.us)

## II. Accessing the SFI System

You need a User ID and a Password to access the SFI system. If your agency has included a work and/or personal email address(es) in your personal profile page in the SFI system, when the filing season opens, you will receive an email (shown below), which will contain your User ID, a Temporary Password, and the direct link to the SFI system.



Click the link in the email to direct you to the SFI system's Login Screen. You should save the link ---<https://www.sfi.eth.state.ma.us/security/Login.aspx>--- in your favorites or bookmarks for quick access.

You will also be able to access the SFI system directly from the Commission's website at [www.mass.gov/ethics](http://www.mass.gov/ethics). On the Commission's website, you will see a Statement of Financial Interests icon. Click on the SFI icon (See Below) and you will be directed to the SFI system's Login Screen.



**FILE YOUR STATEMENT of  
FINANCIAL INTERESTS (SFI)**

## A. How to Login

The Login Screen for the SFI system is shown below. To login, enter your User ID and Temporary Password. Your User ID will be your 6-digit HR/CMS number if you have one. Otherwise, you have been assigned a unique 10-digit User ID beginning with "SFI." Enter the Temporary Password in the Password field shown. Copy (Ctrl-C) the Temporary Password you received by email, paste (Ctrl-V) it in the Password field on the Login Screen, and then click the **Log In** button. Please note that your Password is case-sensitive, which requires the characters to match exactly in order to login.

The screenshot shows the login interface for the State Ethics Commission. At the top, the logo and name 'Commonwealth of Massachusetts STATE ETHICS COMMISSION' are visible. Below the logo, there are links for 'General Help' and 'File Instructions'. On the right side, there are links for 'Guides' and 'State Ethics Commission Home'. The main content area is titled 'User Login' and contains the instruction 'Please enter your User ID and Password'. There are two input fields: one for the User ID and one for the Password. Below the input fields is a 'Log In' button. To the right of the 'Log In' button are links for 'Forgot User ID' and 'Forgot Password'. At the bottom of the page, there is a 'Candidate Self-Registration' button. Three callout boxes provide instructions: one pointing to the input fields with the text 'Type in or 'Copy and Paste' your User ID and Password.', one pointing to the 'Log In' button with the text 'Click Log In button.', and one pointing to the 'Forgot Password' link with the text 'Click Forgot Password button to retrieve your Password.'

Candidates required to complete an SFI, click on **Candidate Self-Registration** to request a User ID and Password. Complete the form and click **Submit**. Commission staff will respond within one business day.

## CANDIDATE SELF-REGISTRATION

**Note:** You must self-register as a candidate only if you are: (1) a candidate for public office; and (2) you are not otherwise required to file a Statement of Financial Interests. Public office means position for which one is nominated at a state election, excluding Senators and Representatives in Congress and regional district school committee members elected district-wide. If you must file a Statement of Financial Interests because you currently hold or previously held an office or position that requires you to file, do not self register.

Search by Name:

Type at least 3 characters of the Name

First Name: \*

Middle Initial:

Last Name: \*

Phone Number: \*

 ext: 

Email Address: \*

Elected Office: \*

Type at least 3 characters of the Name

Date of Election: \*



Enter the security code displayed: \*

Regenerate Image

### How to get your User ID and Password?

- Fill in the requested information and Submit.
- If you receive an error message stating that the email address already exists in the system. Please hit the back button and click Forgot Password or contact the Massachusetts State Ethics Commission at (617)371-9500.
- Required filers will always be given a User ID and Password prior to filing period and will not need to create a new account.
- You will receive an email to the address that was provided containing a username, password and link with which to access the system.
- Questions?

For Technical Assistance contact:

Tony Webb, IT Specialist: (617) 371-9526; [Tony.Webb@state.ma.us](mailto:Tony.Webb@state.ma.us)

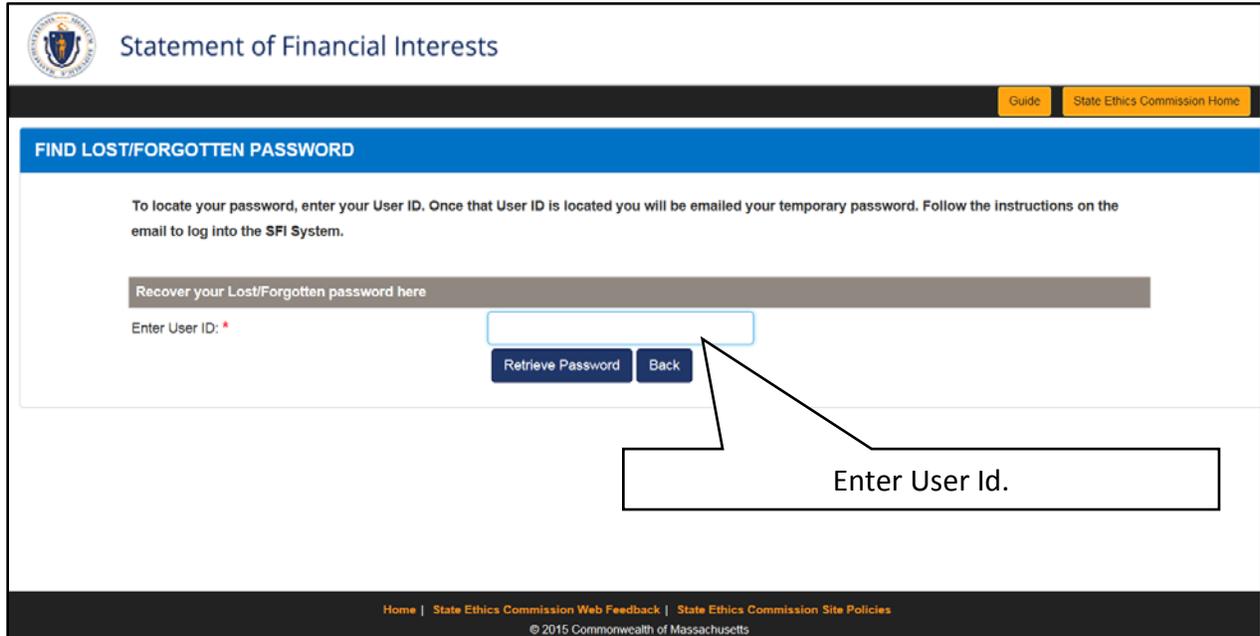
For online filing questions contact:

Robert Milt, SFI Administrator and Analyst: (617) 371-9512; [Robert.Milt@state.ma.us](mailto:Robert.Milt@state.ma.us)

Lauren E. Duca, SFI Deputy Chief: (617) 371-9503; [Lauren.Duca@state.ma.us](mailto:Lauren.Duca@state.ma.us)

## B. How to Retrieve a Lost/Forgotten Password

If you have lost/forgotten your Password, you can retrieve it by clicking the  button, which will direct you to the Find Lost/Forgotten Password screen. Enter your User ID and click the  button. You will then receive an email (shown below), at your work and/or personal email address(es) in the SFI system, with a temporary, one-time use, Password.



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### FIND LOST/FORGOTTEN PASSWORD

To locate your password, enter your User ID. Once that User ID is located you will be emailed your temporary password. Follow the instructions on the email to log into the SFI System.

Recover your Lost/Forgotten password here

Enter User ID: \*

Enter User Id.

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May 10, 2016

Dear Jane Doe,

The State Ethics Commission's Statement of Financial Interests ("SFI") system has received a request to change your password. If you did not make this request to change your password, please contact the Commission immediately at 617-371-9500.

Below is your temporary password, which must be changed when you next login to the SFI system.

Your User ID is SFI0000012225  
Your Temporary Password is CgAl\_p+5

To login, click the following link:  
(<https://sfi.eth.state.ma.us/Security/Login.aspx>)

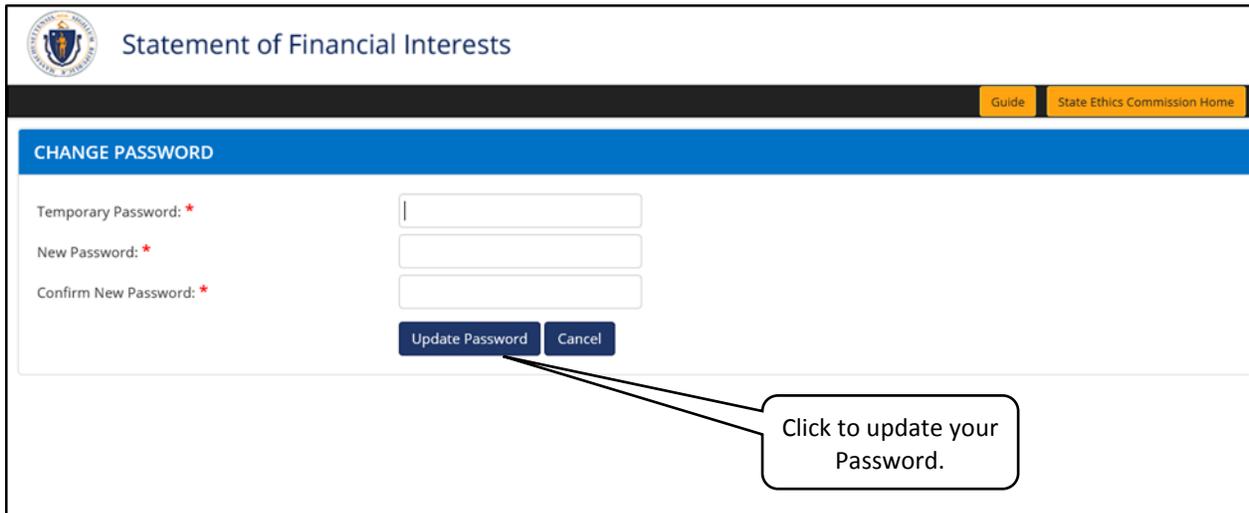
Should you have any questions about your password or any other SFI-related matter, please contact the Commission at 617-371-9500.

Thank you.

State Ethics Commission

Copy the Temporary Password.

Copy (Ctrl-C) the Temporary Password you received by email, paste (Ctrl-V) Temporary Password in the Password field on the Login Screen and then click the **Log In** button. Create a new Password and then enter it in the New Password field. You must confirm your New Password. Click the **Update Password** button to change your Password. You will then receive a Password Change Confirmation Message (shown below). Click the **Continue** button to enter the SFI system.



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### CHANGE PASSWORD

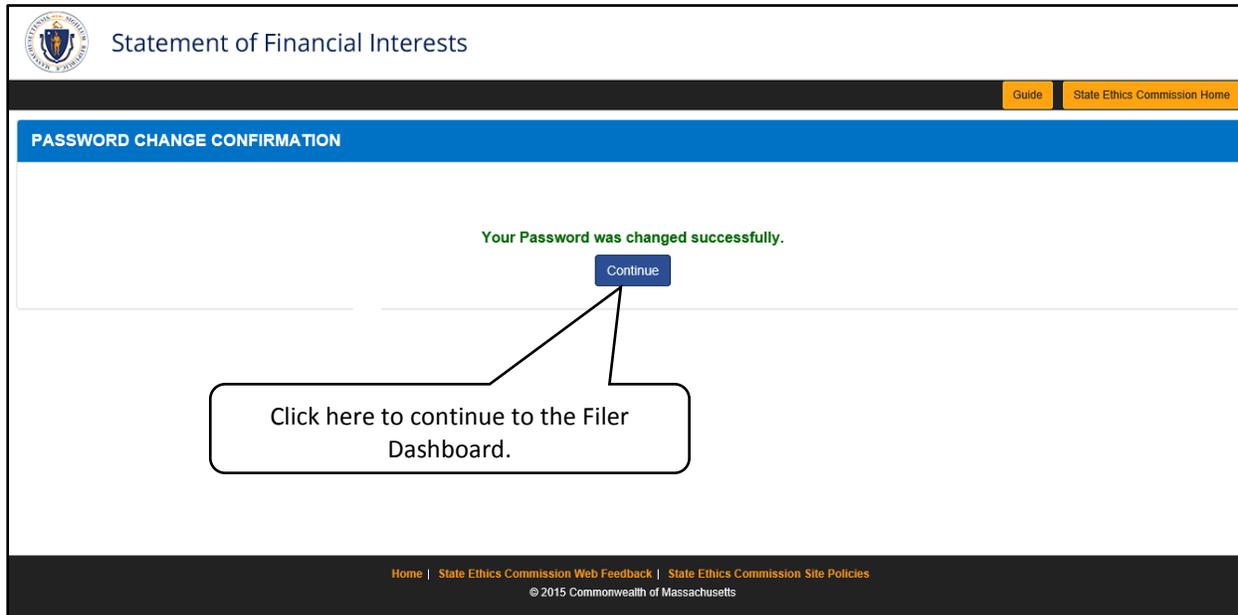
Temporary Password: \*

New Password: \*

Confirm New Password: \*

**Update Password** **Cancel**

Click to update your Password.



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### PASSWORD CHANGE CONFIRMATION

Your Password was changed successfully.

**Continue**

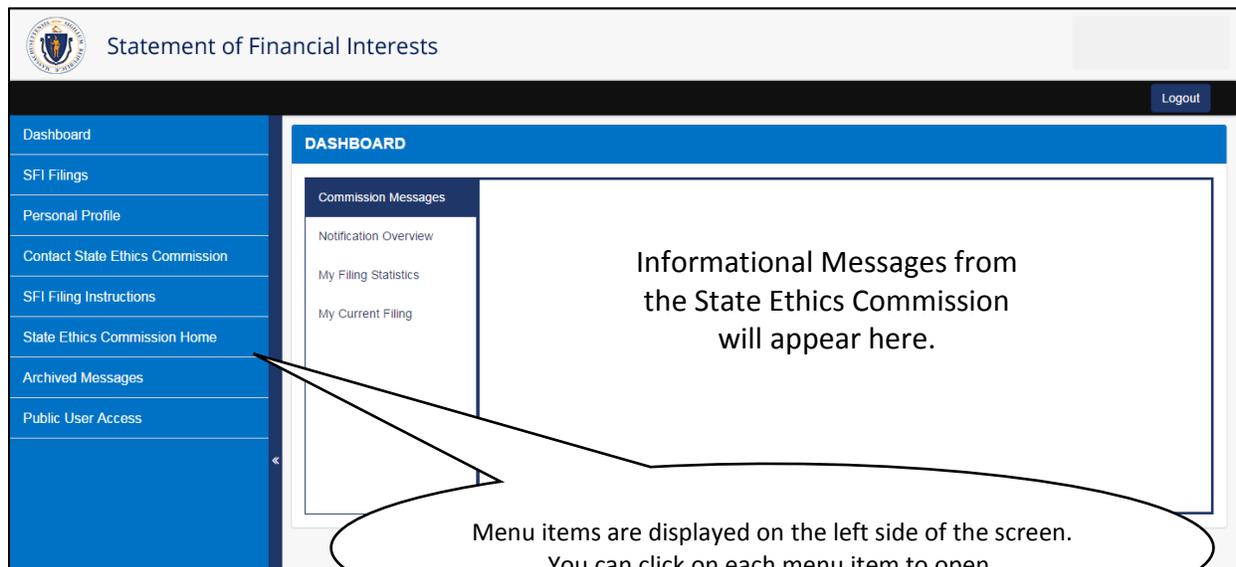
Click here to continue to the Filer Dashboard.

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### C. The Filer Dashboard

After successfully logging into the SFI system, the Filer Dashboard will appear as shown below. From here, you will be able to access and file your pending SFI.

The Filer Dashboard has four headings located in the center of the screen: Commission Messages; Notification Overview; My Filing Statistics; and My Current Filing. There are six headings on the left side of the screen, referred to as “menu items:” SFI Filings; Personal Profile; Contact State Ethics Commission; SFI Filing Instructions; State Ethics Commission Home; Archived Messages; and Public User Access.

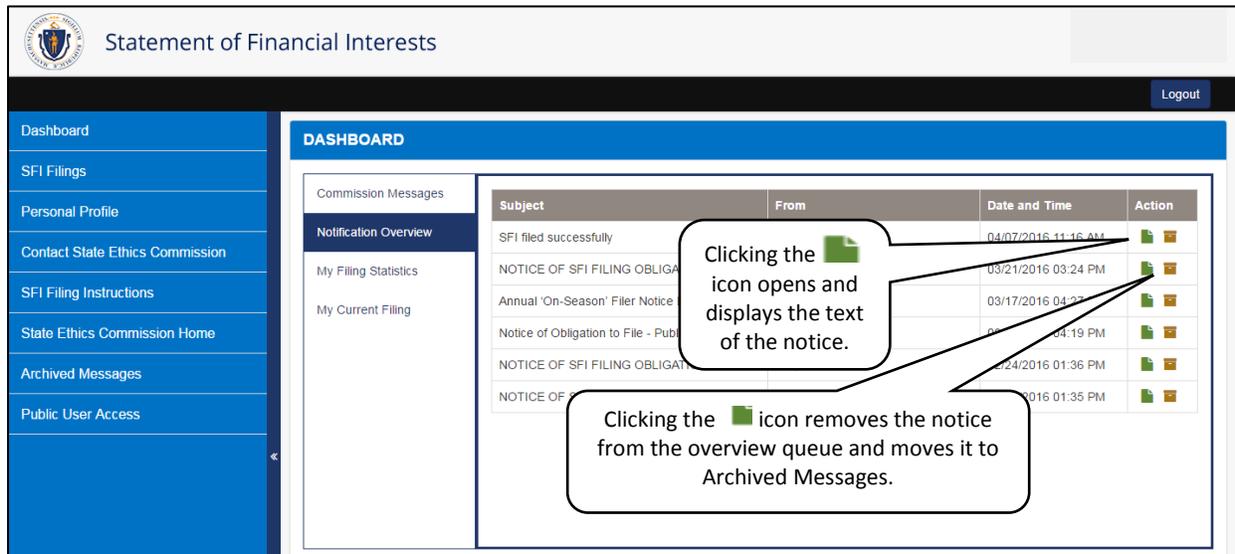


- Commission Messages

From Commission Messages, you can view and access messages sent to you by the Commission.

- **Notification Overview**

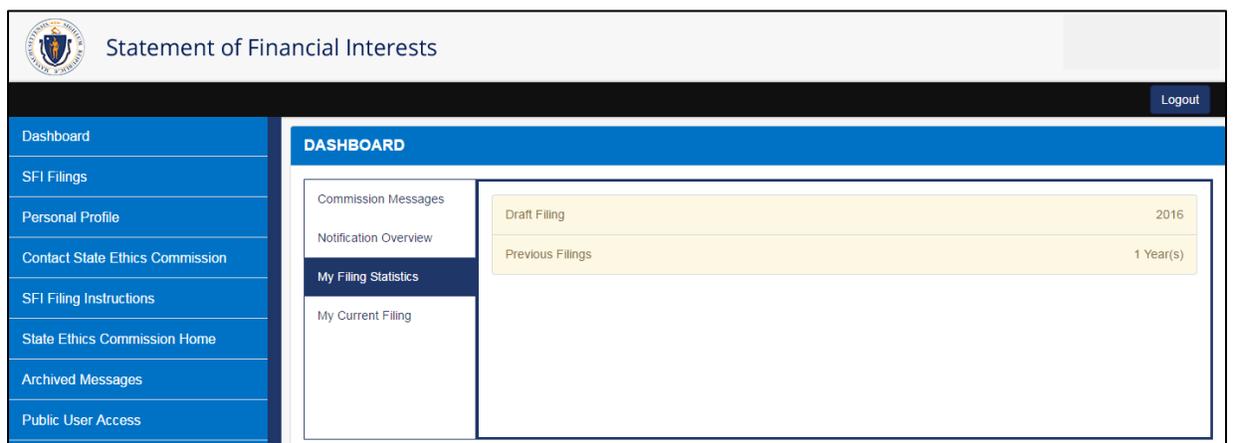
To view a list of any notices sent to you as a Filer, click the Notification Overview tab. To view the text of a notice, click the  icon in the Action column shown below. A pop-up window will then open and display the text of the notice. To remove a notice from the Notification Overview queue and move it to Archived Messages, click the  icon in the Action column. You can locate a message that you previously archived by clicking on the Archived Messages tab. Please note that you will not be able to delete any notice sent to you through the SFI system.



Subject	From	Date and Time	Action
SFI filed successfully		04/07/2016 11:16 AM	 
NOTICE OF SFI FILING OBLIGA		03/21/2016 03:24 PM	 
Annual 'On-Season' Filer Notice		03/17/2016 04:27	 
Notice of Obligation to File - Pub		03/17/2016 04:19 PM	 
NOTICE OF SFI FILING OBLIGA		03/24/2016 01:36 PM	 
NOTICE OF SFI FILING OBLIGA		03/24/2016 01:35 PM	 

- **My Filing Statistics**

From My Filing Statistics, you will be able to view the status of your current (CY 2015) SFI filing as well as your prior year (CY 2014) SFI filing, if you filed one.



Draft Filing	2016
Previous Filings	1 Year(s)

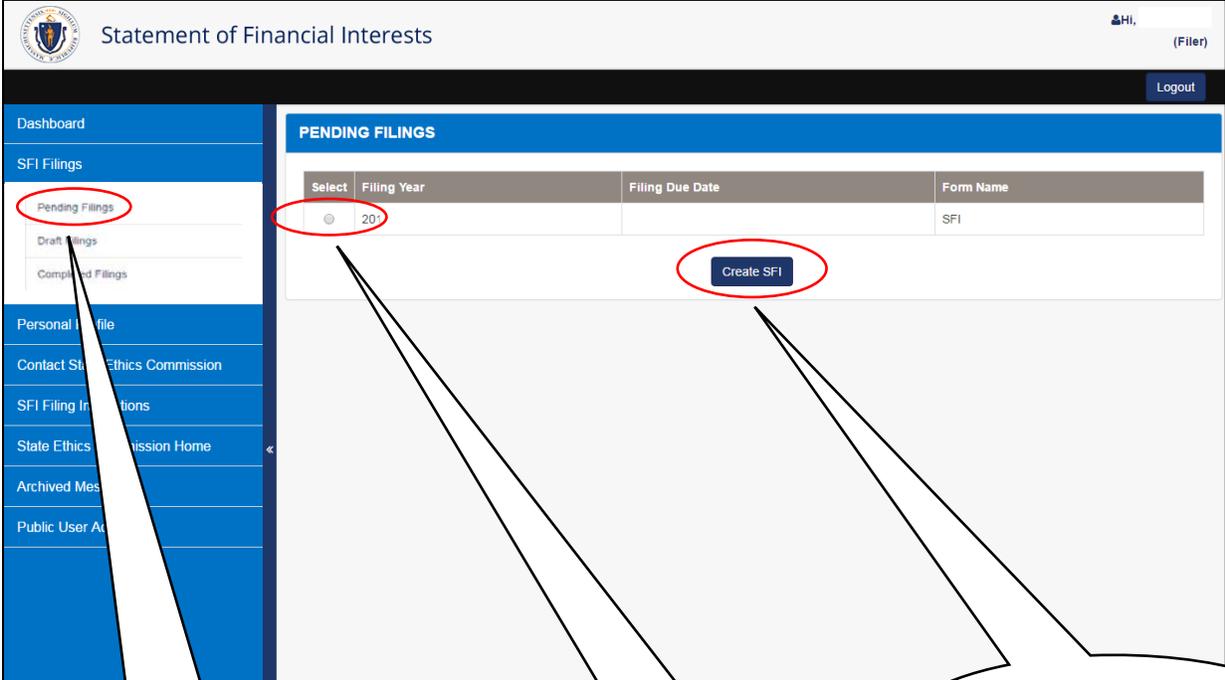
- **My Current Filing**

From My Current Filing, you will have a direct link to your CY 2015 filing.

### III. COMPLETING YOUR SFI

From the SFI Filings menu item located on the left side of your Filer Dashboard, you will be able to view a list of all Pending, Draft, and Completed SFI Filings.

- **Pending Filings:** If you are logging-in to the new SFI system for the first time, select Pending Filings to open your CY 2015 SFI.



Statement of Financial Interests

HI, (Filer)

Logout

Dashboard

SFI Filings

- Pending Filings
- Draft Filings
- Completed Filings

Personal Profile

Contact State Ethics Commission

SFI Filing Instructions

State Ethics Commission Home

Archived Messages

Public User Account

**PENDING FILINGS**

Select	Filing Year	Filing Due Date	Form Name
<input type="radio"/>	2015		SFI

Create SFI

Click on Pending Filings tab.

Select your CY 2015 SFI.

Click on Create SFI to begin work on your CY 2015 SFI.

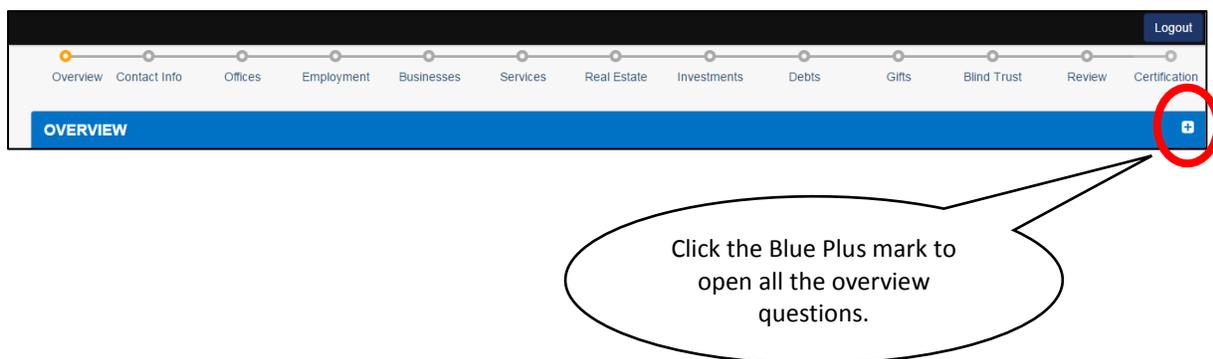
- **Draft Filings:** If you have already started working on your CY 2015 SFI, select Draft Filings to reopen your CY 2015 SFI to continue working on it.
- **Completed Filings:** If you wish to review your prior year's SFI filing (CY 2014), select Completed Filings.

## A. Completing the Overview Questions

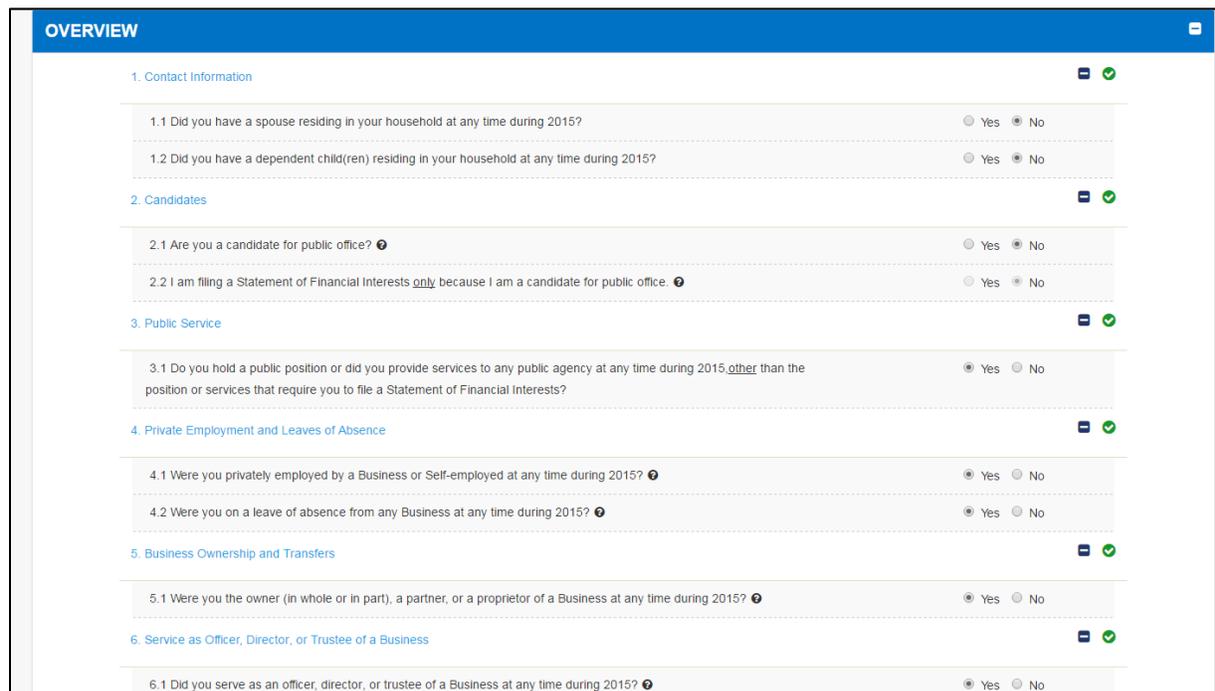
Once you have opened your SFI, you will see the Overview (shown below), which contains the section headings of the SFI form. Based on the answers you provide, the Overview questions work as a filter to help the SFI system identify which questions you are required to answer. For example, if you answer that you did not have a spouse or any dependent child(ren) residing in your household at any time during the filing year, you will not be required to answer any of the questions on the SFI form relating to spouses and dependent children.

### To complete the Overview Questions:

1. Click the  to open all the Overview questions.



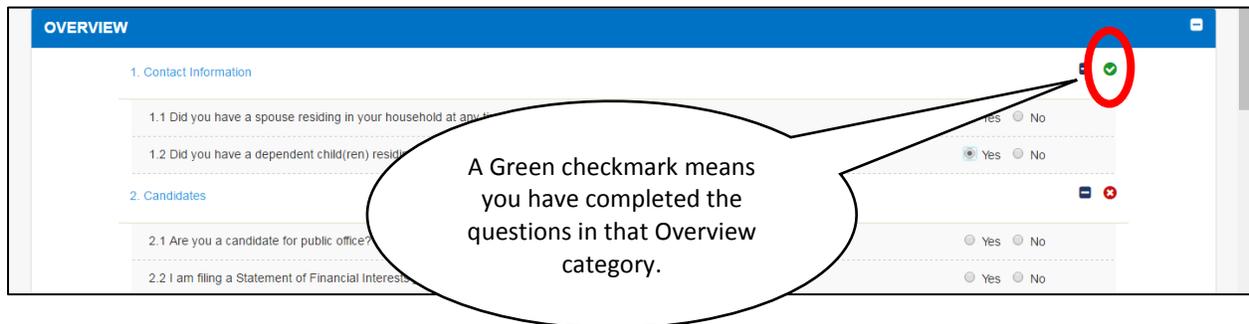
When you click on the , all the Overview questions on that page will appear.



The screenshot shows the full 'OVERVIEW' page. The page is titled 'OVERVIEW' in a blue header. Below the header, there are six sections of questions, each with a blue plus icon and a green checkmark in the top right corner. The questions are:

- 1. Contact Information**
  - 1.1 Did you have a spouse residing in your household at any time during 2015?  Yes  No
  - 1.2 Did you have a dependent child(ren) residing in your household at any time during 2015?  Yes  No
- 2. Candidates**
  - 2.1 Are you a candidate for public office?  Yes  No
  - 2.2 I am filing a Statement of Financial Interests only because I am a candidate for public office.  Yes  No
- 3. Public Service**
  - 3.1 Do you hold a public position or did you provide services to any public agency at any time during 2015, other than the position or services that require you to file a Statement of Financial Interests?  Yes  No
- 4. Private Employment and Leaves of Absence**
  - 4.1 Were you privately employed by a Business or Self-employed at any time during 2015?  Yes  No
  - 4.2 Were you on a leave of absence from any Business at any time during 2015?  Yes  No
- 5. Business Ownership and Transfers**
  - 5.1 Were you the owner (in whole or in part), a partner, or a proprietor of a Business at any time during 2015?  Yes  No
- 6. Service as Officer, Director, or Trustee of a Business**
  - 6.1 Did you serve as an officer, director, or trustee of a Business at any time during 2015?  Yes  No

2. Answer the question(s) in each of the Overview categories. If you have not answered all of the questions in a category, you will see a ❌. Once you have answered each question(s) in a particular category, the ❌ for that category will turn into a ✅ indicating the completion of that category.



3. Complete all the questions in each of the Overview categories. **Please note that you will not be able to advance to the next section of the CY 2015 SFI until you answered each Overview question, except in the following situations:**

- If you are filing a CY 2015 SFI only because you are a candidate for public office (Overview Question 2.2), you will not be required to answer the question(s) in the Overview categories for Reimbursements (Question 10.1), and Gifts and Honoraria (Questions 11.1 and 11.2).
- All other Filers will need to answer either Overview Question 11.1 or Question 11.2, but not both.
  - a) If you are filing an SFI because you had or now have an appointed position, you must answer Yes or No to Question 11.1.
  - b) If you are filing an SFI because you had or now have an elected position or both an elected and appointed position, you must answer Yes or No to Question 11.2.

9. Debts Including Mortgages ☰ ✓

9.1 Did you have a mortgage on your Primary Residence at any time during 2015?  Yes  No

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10. Reimbursements From Certain Individuals ☰ ✓

10.1 Did you receive any Reimbursements for expenses from a legislative or executive agent (lobbyist) at any time during 2015?  Yes  No

---

11. Gifts and Honoraria From Certain Individuals ☰ ✓

11.1 If you are filing this Statement of Financial Interests because you had or now have an appointed position: Did you receive any Gifts and/or Honoraria at any time during 2015 from any person having a direct interest in a matter before the governmental body by which you were or are now employed?  Yes  No

11.2 If you are filing this Statement of Financial Interests because you had or now have an elected position or both an elected and appointed position: Did you receive any Gifts and/or Honoraria at any time during 2015 from any person having a direct interest in legislation, legislative action, or a matter before a governmental body?  Yes  No

---

12. Blind Trust ☰ ✓

12.1 Did you own anything that you will not report on this Statement of Financial Interests because it was held in a Blind Trust during 2015?  Yes  No

[◀ Back](#)

[Next ▶](#)

Click here to return you to the Filer Dashboard. If you click [◀ Back](#) on the Overview Page, your answers will not be saved.

Click on [Next ▶](#) to save your answers and advance to the next "Contact Info" page.

4. After you have answered all the questions in the Overview categories, click [Next ▶](#) at the bottom of the page to save your responses and proceed to the next section of the SFI. Click [◀ Back](#) to return to the Filer Dashboard. If you click [◀ Back](#) on the Overview Page, your answers will not be saved.

## B. Answering the SFI Questions

You must provide a response to any item that has  next to it.

First Name: 

A  indicates that a response is required

After you enter certain information into tables on the form (see below), you need to click  to ensure it is entered into the SFI system. Certain questions may require you to enter multiple responses. For example, you may be reporting ownership of multiple pieces of property. After entering the information relating to the first piece of property, click  each time.

13 Did you own directly or through a Business, any Real Estate in Massachusetts as of December 31, 2015, with an assessed value greater than \$1,000?  Yes  No

Identify all Real Estate in Massachusetts which you owned directly or through a business as of December 31, 2015, and which had an assessed value greater than \$1,000, and provide the required information for each piece of Real Estate. 

Street 1:  Street 2:

City:  State:  Zip Code:

Country:

Assessed Value of Real Estate:

Do you or any of your family members reside at this address?

13.a Did you own this Real Estate with your spouse and/or any dependent child(ren) residing in your household?

13.b Was this Real Estate transferred to you or your Business during 2015?



Click on  to save entry.

Property Address	Transferor Name	Transferor Address	Assessed Value	Action
No records found.				

The information you entered will be shown in a Table at the end of the Question. You will then have the ability to edit or delete that entry.

- To edit information, click the  icon in the Action column (shown below) to view the date you entered. After completing your changes, click  to save your changes. You can delete an entire entry by clicking the .

Assessed Value of Real Estate:

Do you or any of your family members reside at this address?

13.a Did you own this Real Estate with your spouse and/or any dependent child(ren) residing in your household?

13.b Was this Real Estate transferred to you or your Business during 2015?



By clicking on  or  on the Action column you can edit and delete previously entered records.

Property Address	Transferor Name	Transferor Address	Assessed Value	Action
123 Main St., Reading, MA, 01867, US			\$100,001 or more	 

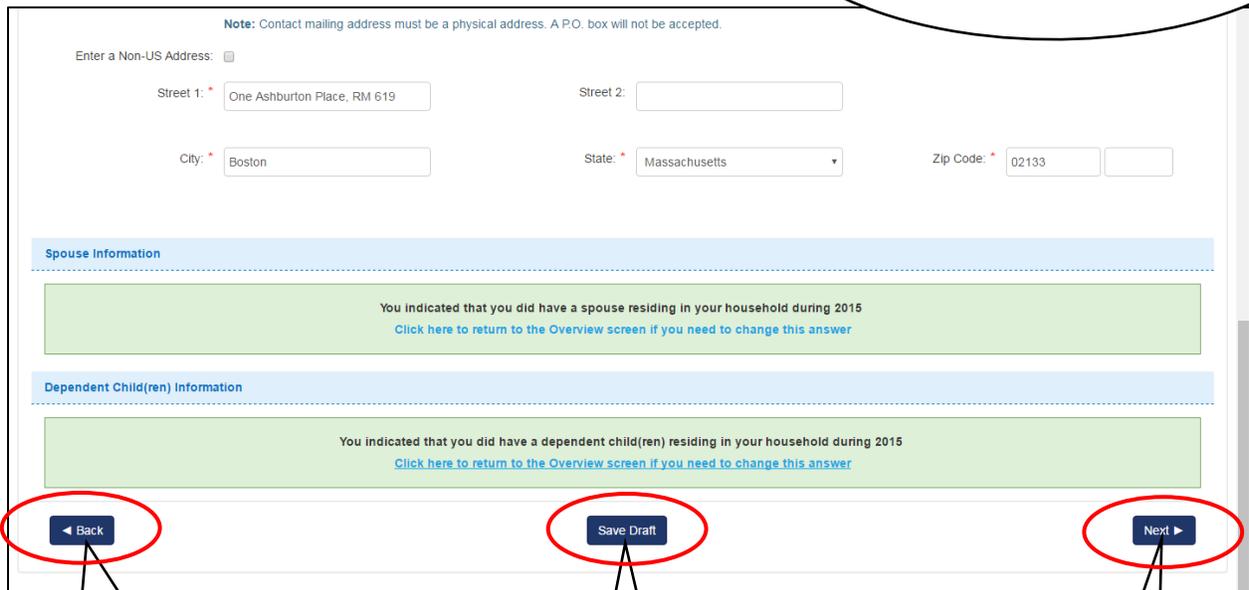
### C. Navigating Through the SFI Form

Once you have answered all the required questions in a given section, the following options are available to you:

- To save your responses and advance to the next page, click: .
- To return to the prior page without saving your most recently made changes, click: .
- To work on your SFI at a later time, click: . Your draft SFI will be saved and you will be returned to the Filer Dashboard.
- To logout of the SFI System and return to the User Login page, click: . **If you logout of the SFI System, your most recently made changes will not be saved.**



**If you logout of the SFI System  
your most recently made  
changes will not be saved.**

A screenshot of the SFI Form. The form is white with blue and green accents. It contains several sections: a note about contact mailing address, a form for entering a non-US address, a Spouse Information section, and a Dependent Child(ren) Information section. The Back, Save Draft, and Next buttons are circled in red.

Click  to save and return to the prior page. If you click  on any page, your answers will not be saved.

Click  to save your draft SFI and return to the Filer Dashboard.

Click  to save and advance to the next page.

## D. SFI Sections

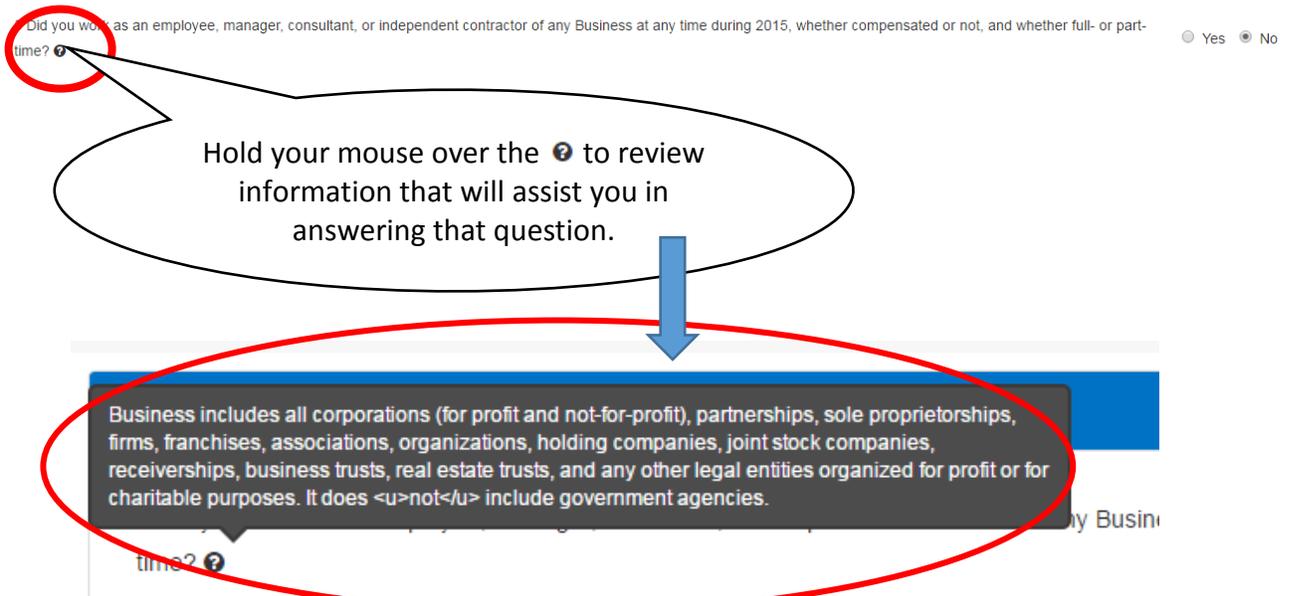
The sections of the SFI are shown on the navigation bar at the top of the screen.



Once a section has been completed, it will be available for further review and editing at any time before you certify and submit your SFI. Please note that you will not be able to advance to the next section until the prior section has been completed. If you wish to continue working on your SFI at a later point, please be sure to Click [Save Draft](#) to save your draft SFI and return to the Filer Dashboard.

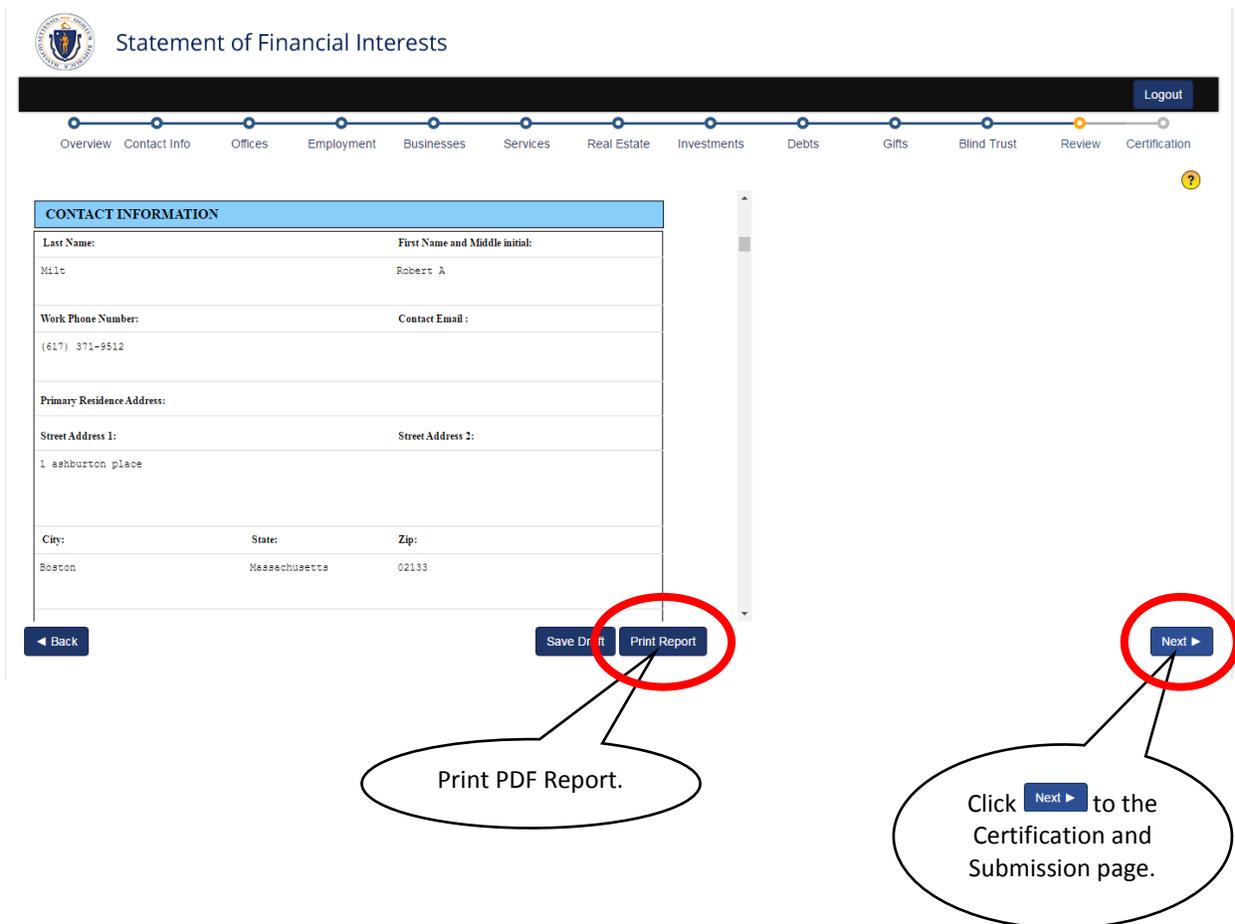
## E. The Help Bubbles

The electronic SFI form has a number of help bubbles which are indicated by . The help bubbles contain definitions and other information to help you answer the question.



## F. Reviewing your Responses

- Once you have completed all of the form sections, a draft of your completed form will be available in the Review section, so that you may review your responses to ensure that they are accurate and complete prior to submitting your CY 2015 SFI. You may review your responses online or print a PDF copy of your draft for reviewing off-line.
- Once you have completed your review, click .



 Statement of Financial Interests

Overview Contact Info Offices Employment Businesses Services Real Estate Investments Debts Gifts Blind Trust Review Certification  

**CONTACT INFORMATION**

Last Name:		First Name and Middle Initial:	
Milt		Robert A	
Work Phone Number:		Contact Email :	
(617) 371-9512			
Primary Residence Address:			
Street Address 1:		Street Address 2:	
1 ashburton place			
City:	State:	Zip:	
Boston	Massachusetts	02133	

Print PDF Report.

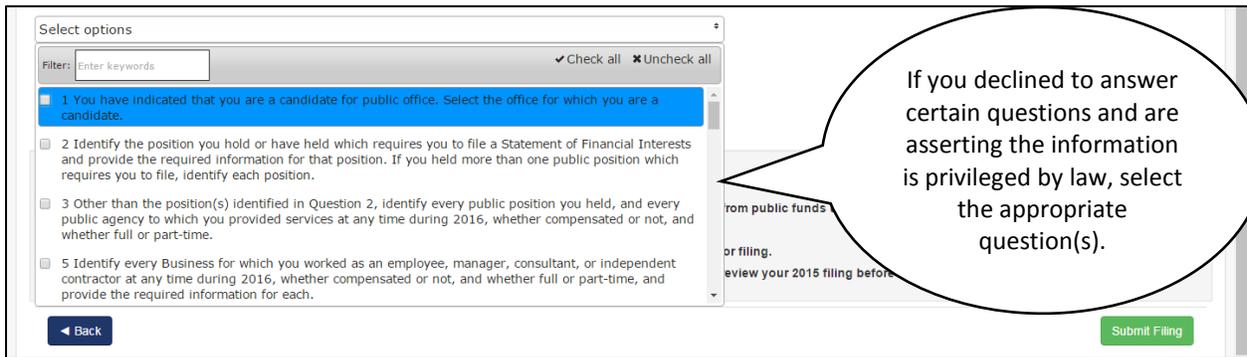
Click  to the Certification and Submission page.

## G. Certifying and Submitting Your SFI

Prior to submitting your SFI, you must make the following certification:

***I made a diligent effort to obtain the required information concerning myself and my SPOUSE AND/OR ANY DEPENDENT CHILD(REN) residing in my household; and the information provided on this form is true and complete, to the best of my knowledge.***

**If** you decline to answer a specific question in whole or in part because you assert the information is privileged by law, you must identify the specific questions and the basis of your claim of privilege using the drop-down menu shown below.

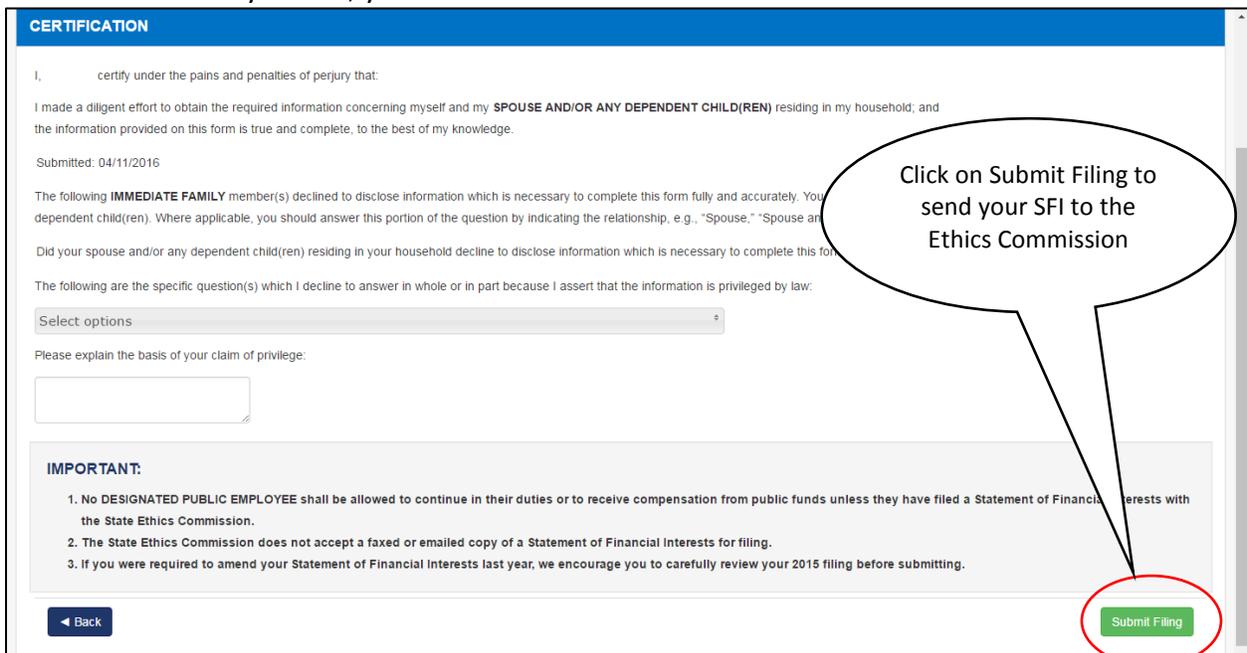


The screenshot shows a 'Select options' dropdown menu with a search filter and a list of five questions. A callout bubble points to the menu with the text: "If you declined to answer certain questions and are asserting the information is privileged by law, select the appropriate question(s)." The questions are:

- 1 You have indicated that you are a candidate for public office. Select the office for which you are a candidate.
- 2 Identify the position you hold or have held which requires you to file a Statement of Financial Interests and provide the required information for that position. If you held more than one public position which requires you to file, identify each position.
- 3 Other than the position(s) identified in Question 2, identify every public position you held, and every public agency to which you provided services at any time during 2016, whether compensated or not, and whether full or part-time.
- 4 Identify every position you held, whether compensated or not, and whether full or part-time, from public funds.
- 5 Identify every Business for which you worked as an employee, manager, consultant, or independent contractor at any time during 2016, whether compensated or not, and whether full or part-time, and provide the required information for each.

Buttons for 'Back' and 'Submit Filing' are visible at the bottom of the menu.

In order to submit your SFI, you must click on the  button.



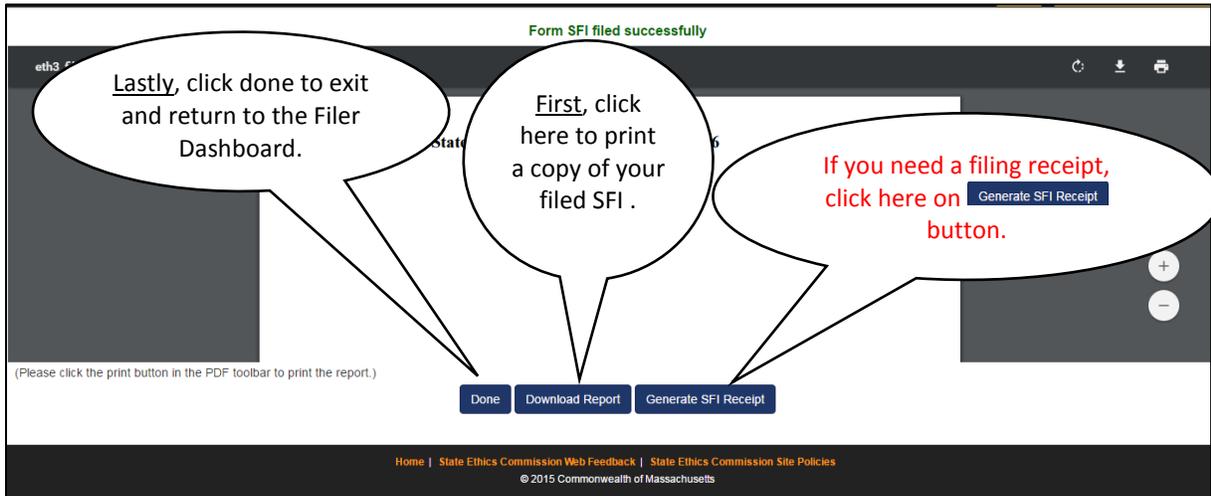
The screenshot shows the 'CERTIFICATION' page. It includes a blue header, a certification statement, a submission date of 04/11/2016, and a section for declining to answer questions. A callout bubble points to the 'Submit Filing' button with the text: "Click on Submit Filing to send your SFI to the Ethics Commission". The 'Submit Filing' button is circled in red. Below the certification section, there is an 'IMPORTANT:' section with three numbered items:

1. No DESIGNATED PUBLIC EMPLOYEE shall be allowed to continue in their duties or to receive compensation from public funds unless they have filed a Statement of Financial Interests with the State Ethics Commission.
2. The State Ethics Commission does not accept a faxed or emailed copy of a Statement of Financial Interests for filing.
3. If you were required to amend your Statement of Financial Interests last year, we encourage you to carefully review your 2015 filing before submitting.

Buttons for 'Back' and 'Submit Filing' are visible at the bottom of the page.

#### IV. Submission and Receipt

In order to submit your SFI, you must click on the **Submit Filing** button. When you submit your SFI, you have the option of printing or saving a PDF of your filing. You also have option to print or save a receipt of your filing. If you are a candidate for public office, you will need to provide the Secretary of State's Elections Division your SFI Filing Receipt.



After submitting your SFI, you will receive an email from the Commission (shown below) acknowledging your submission.

Dear Jane Doe,

Your Statement of Financial Interests for Calendar Year 2015 has been filed successfully with the State Ethics Commission.

Thank you.

State Ethics Commission  
Website: <http://www.mass.gov/ethics/>

This message is sent by an automated email system. Please do not reply to this email message.

A copy of your SFI and your Filing Receipt (shown below) will be attached to this email.



## V. AMENDING YOUR SFI

If you need to amend your CY 2015 SFI, go to the SFI Filings tab and click on the Completed Filings heading. Select your CY 2015 SFI and click [Amend](#).



Once you click on [Amend](#), you will be able to amend your previously completed SFI. Then you will be allowed to add new information or edit any information previously provided on your SFI as originally filed. If you have any questions regarding the amendment process, please contact Lauren Duca or Robert Milt. Please see their contact information on page 3 of this guide.