

STATE ETHICS COMMISSION

User Guide to Electronic Filing Application for Statements of Financial Interests (“SFIs”)

Dated: March 22, 2017

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I. INTRODUCTION

The State Ethics Commission (“Commission”) has designed and developed a Statement of Financial Interests (“SFI”) Filing Application (“SFI system”) which will allow you to complete, certify, and submit your calendar year (“CY”) 2016 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 a request to view your filing is made by a public user using the SFI system’s new Public Inspection Module.

Using the SFI system, you have the capability to:

- view a copy of your CY 2015 SFI for reference;
- file your CY 2016 SFI;
- amend your CY 2016 or 2015 SFI, if necessary;
- update your email and home 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@mass.gov

Tony Webb, IT Specialist
(617) 371-9526
Tony.Webb@mass.gov

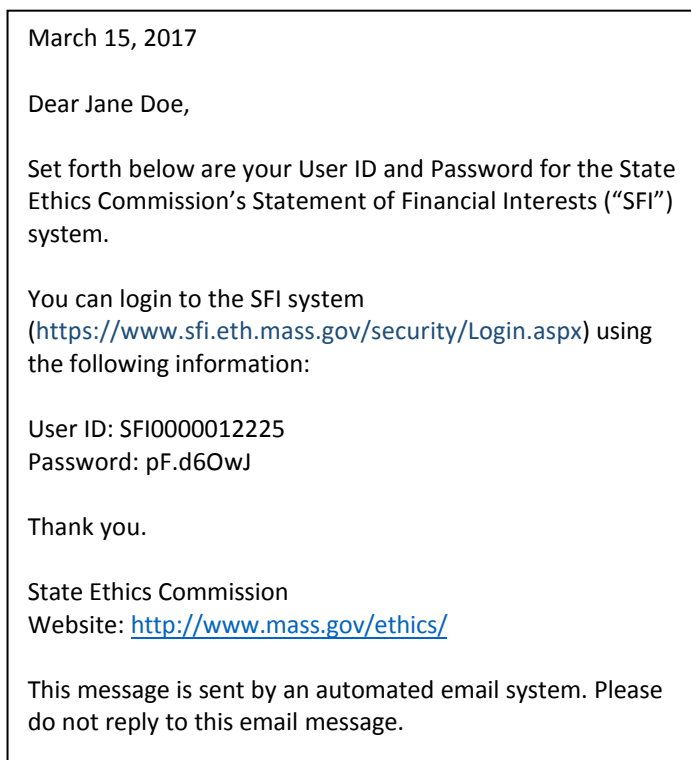
Lauren Duca, Deputy Chief/SFI
(617) 371-9503
Lauren.Duca@mass.gov

In addition, if you have any questions about what you need to disclose on your CY 2016 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@mass.gov

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 Password, and the direct link to the SFI system. If you have used the SFI system before, the email will contain your existing Password. If you have not used the SFI System before, you will receive a Temporary Password.



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.mass.gov/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. On the Commission's website, you will see a Statement of Financial Interests icon. Click on the SFI icon (shown below) and you will be directed to the SFI system's Login Screen.



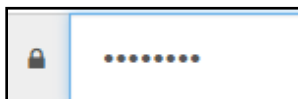
**FILE YOUR STATEMENT of
FINANCIAL INTERESTS (SFI)**

A. How to Login

The Login Screen for the SFI system is shown below. To login, enter your User ID and Password shown on the email you received. 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 Password in the Password field shown. Copy the Password you received by email, paste 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 'User Login' page of the State Ethics Commission. The page has a header with the commission's name and logo, and navigation links for 'General Help' and 'File Instructions'. The main content area is titled 'User Login' and contains a form with two input fields: 'Please enter your User ID and Password'. A callout bubble points to the first field with the text 'Type in or copy and paste your User ID and Password.' Below the fields is a blue 'Log In' button, which is pointed to by another callout bubble saying 'Click Log In button.' To the right of the 'Log In' button are links for 'Forgot User ID' and 'Forgot Password'. A third callout bubble points to the 'Forgot Password' link with the text 'Click Forgot Password button to retrieve your Password.' At the bottom of the page, there is a 'Candidate Self-Registration' link and a footer with 'Home | State Ethics Commission Web Feedback | State Ethics Commission Site Policies' and '© 2015 Commonwealth of Massachusetts'.

If you have used the SFI system before, the email will contain your existing Password. If you have not used the SFI System before, you will receive a Temporary Password. When copying and pasting in your Temporary Password, you should see 8 bubbles (shown below):



If you see more than, or less than, 8 bubbles, your Temporary Password will not work. You will need to re-copy the Temporary Password and re-enter it.

Candidates who need to complete an SFI and who are not otherwise required to file, must click on [Candidate Self-Registration](#) to request a User ID and Password in order to file electronically. 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: *

KVYU4

Regenerate Image

Submit

Clear

Back

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



For online filing questions contact:

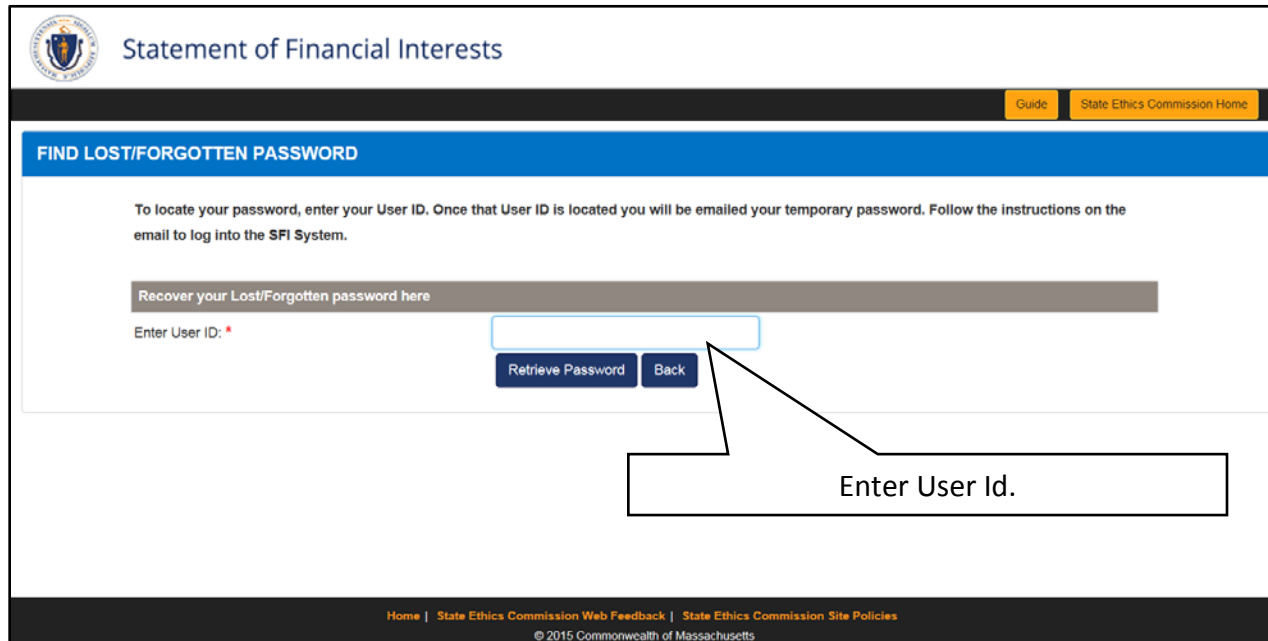
Robert Milt, SFI Administrator and Analyst: (617) 371-9512; Robert.Milt@state.ma.us

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

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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.



Statement of Financial Interests

Guide State Ethics Commission Home

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: *

Retrieve Password Back

Enter User Id.

Home | State Ethics Commission Web Feedback | State Ethics Commission Site Policies
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March 15, 2017

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.mass.gov/Security/Login.aspx>)

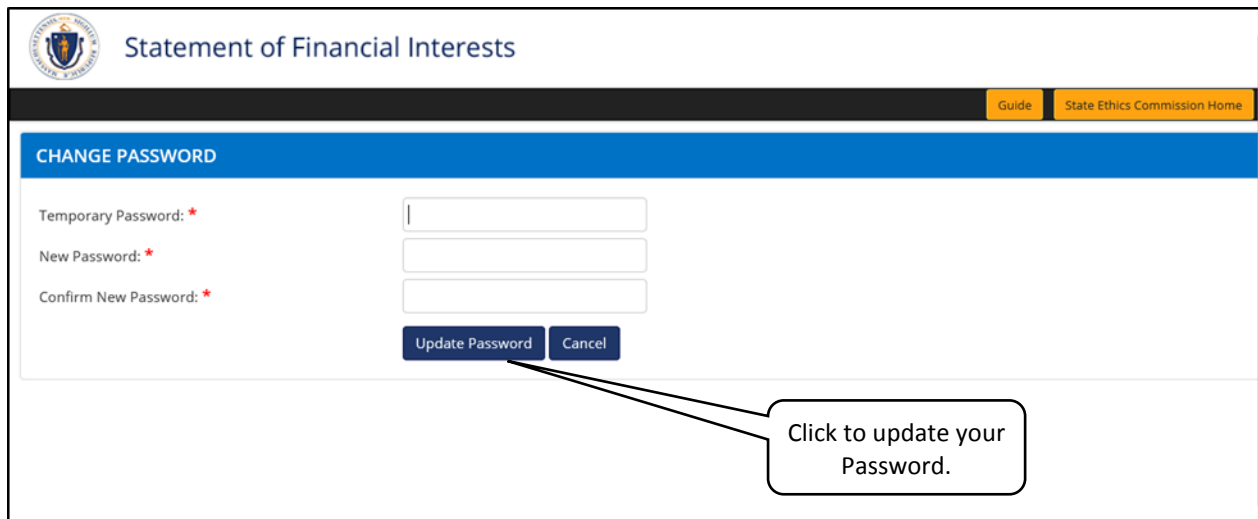
Should you have any questions about your password or any other SFI-related matter, please contact the Commission at 617-371-9500.

Thank you.

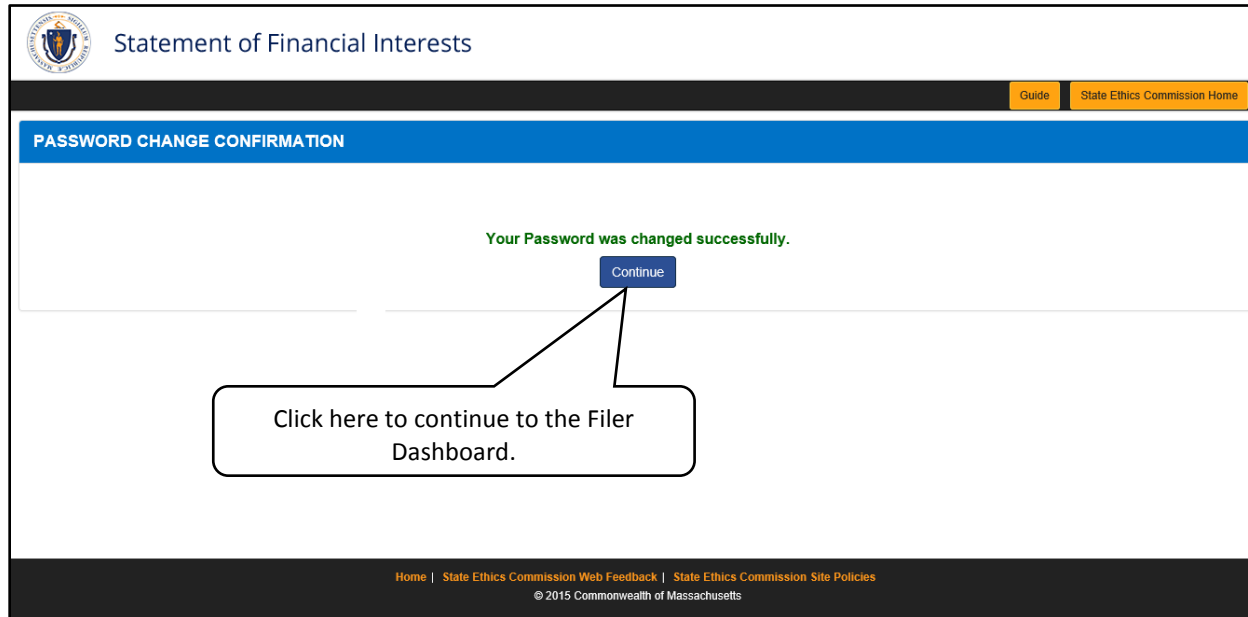
State Ethics Commission

Copy the Temporary Password.

If you are using the SFI system for the first time, copy the Temporary Password you received by email, paste the 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.



The screenshot shows the 'Statement of Financial Interests' header with the state seal on the left and 'Guide' and 'State Ethics Commission Home' links on the right. Below the header is a blue bar labeled 'CHANGE PASSWORD'. The form contains three input fields: 'Temporary Password: *', 'New Password: *', and 'Confirm New Password: *'. Below these fields are two buttons: 'Update Password' and 'Cancel'. A callout box with an arrow pointing to the 'Update Password' button contains the text: 'Click to update your Password.'

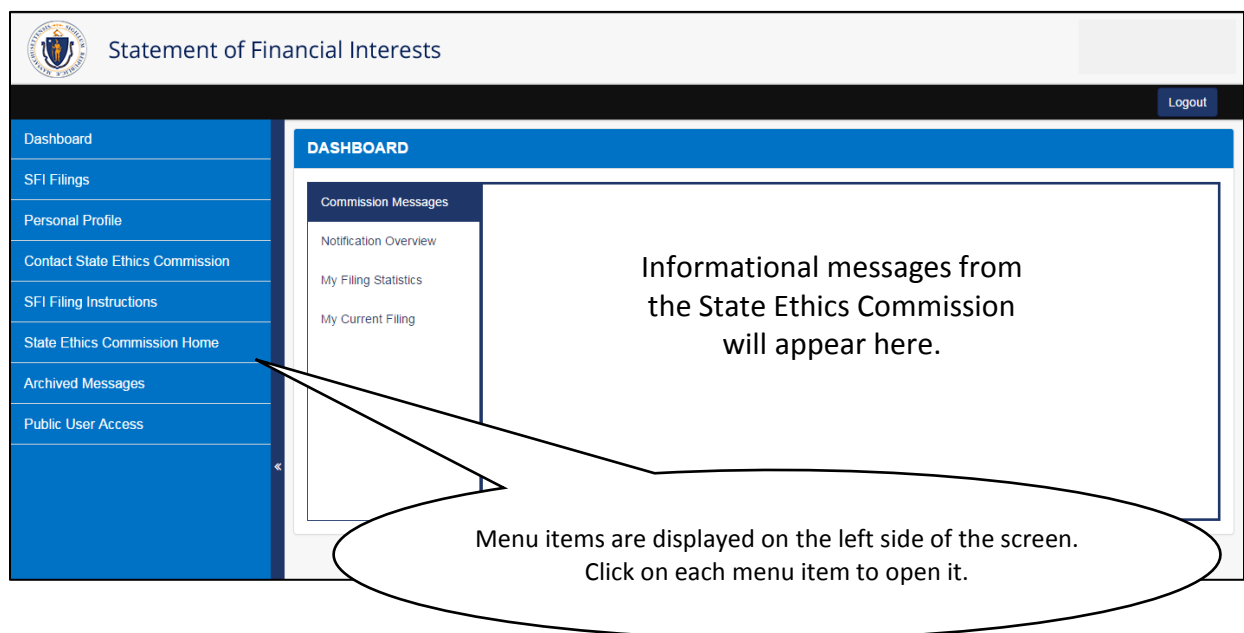


The screenshot shows the 'Statement of Financial Interests' header with the state seal on the left and 'Guide' and 'State Ethics Commission Home' links on the right. Below the header is a blue bar labeled 'PASSWORD CHANGE CONFIRMATION'. The main content area displays the message 'Your Password was changed successfully.' in green text, followed by a 'Continue' button. A callout box with an arrow pointing to the 'Continue' button contains the text: 'Click here to continue to the Filer Dashboard.' At the bottom of the page, there is a footer with the text: 'Home | State Ethics Commission Web Feedback | State Ethics Commission Site Policies © 2015 Commonwealth of Massachusetts'.

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. You may also view any previous filings you made that are available in the SFI system.



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.

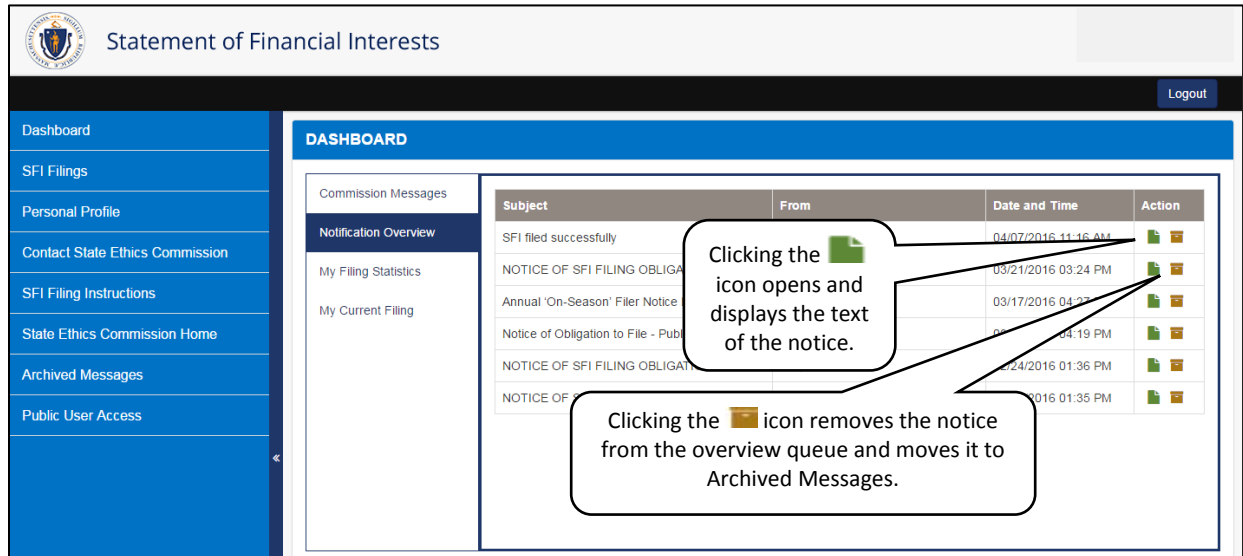














- Commission Messages

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

- **Notification Overview**

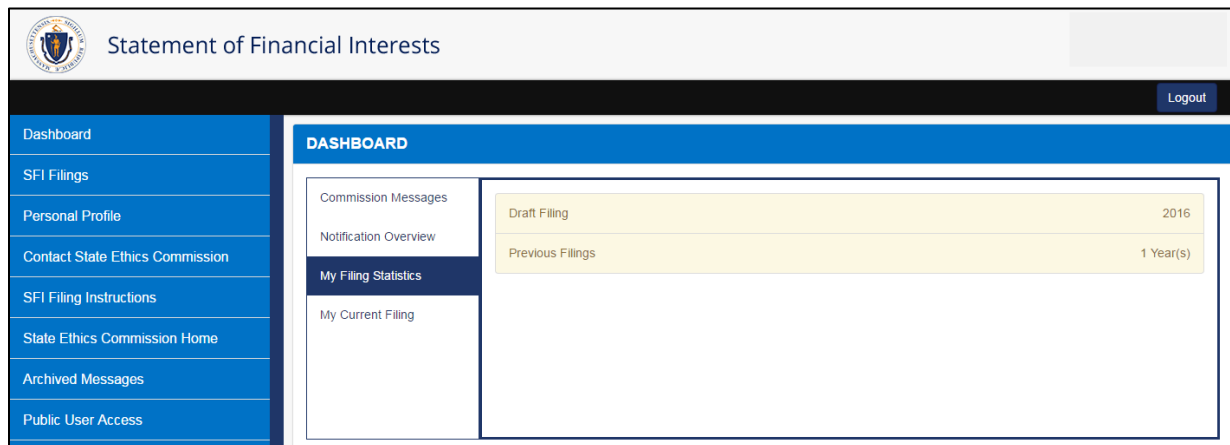
To view a list of any notices sent to you as a Filer, click the Notification Overview tab. To view the text of a notice, click the  icon in the Action column shown below. A pop-up window will then open and display the text of the notice. To remove a notice from the Notification Overview queue and move 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 OBLIGATION		03/21/2016 03:24 PM	 
Annual 'On-Season' Filer Notice		03/17/2016 04:22 PM	 
Notice of Obligation to File - Public		03/17/2016 04:19 PM	 
NOTICE OF SFI FILING OBLIGATION		03/24/2016 01:36 PM	 
NOTICE OF SFI FILING OBLIGATION		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 2016) SFI filing as well as your prior year (CY 2015) SFI filing, if you filed one.



Section	Status
Draft Filing	2016
Previous Filings	1 Year(s)

- **My Current Filing**

From My Current Filing, you will have a direct link to your CY 2016 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 SFI system for the first time to work on your SFI for CY 2016, select Pending Filings to open your CY 2016 SFI.

Statement of Financial Interests

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"/>	2016		SFI

Create SFI

Click on Pending Filings tab.

Select your CY 2016 SFI.

Click on Create SFI to begin work on your CY 2016 SFI.

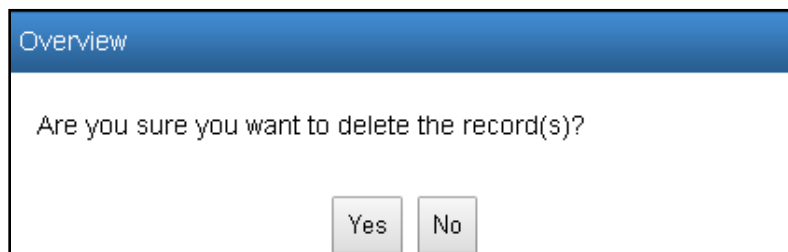
- **Draft Filings:** If you have already started working on your CY 2016 SFI in the system, select Draft Filings to reopen your CY 2016 SFI to continue working on it.
- **Completed Filings:** If you wish to review your prior year's SFI filing (CY 2015), select Completed Filings.

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.

B. Rollover of Information From Your CY 2015 SFI

If you filed a CY 2015 SFI using the SFI system, then certain information from that filing will “rollover” which means that it will appear on your draft CY 2016 without you having to re-enter it. If you answered an Overview question “Yes” for CY 2015, and you answer that same Overview question “Yes” for CY 2016, then any related information entered on your CY 2015 SFI will appear on the draft of your CY 2016 SFI. You will have to edit that information only if necessary. If you attempt to answer an Overview question “No” on your draft CY 2016 SFI, when you answered “Yes” to that same Overview question for CY 2015, you will see the message (shown below) to alert you that the related information entered on your CY 2015 will not rollover to your draft CY 2016 SFI. If you select “No” after seeing the message below, the information will not rollover. If you selected “No” by mistake, then you will be required to re-enter that information if necessary on your CY 2016 SFI.




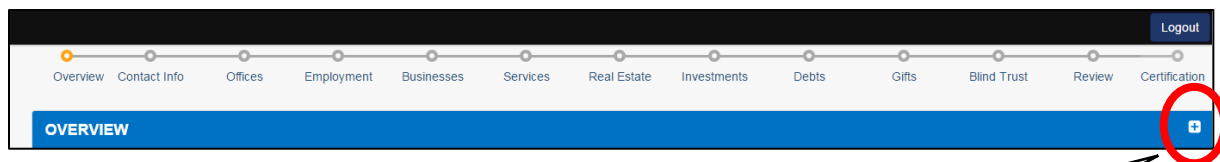
Overview

Are you sure you want to delete the record(s)?

Yes No

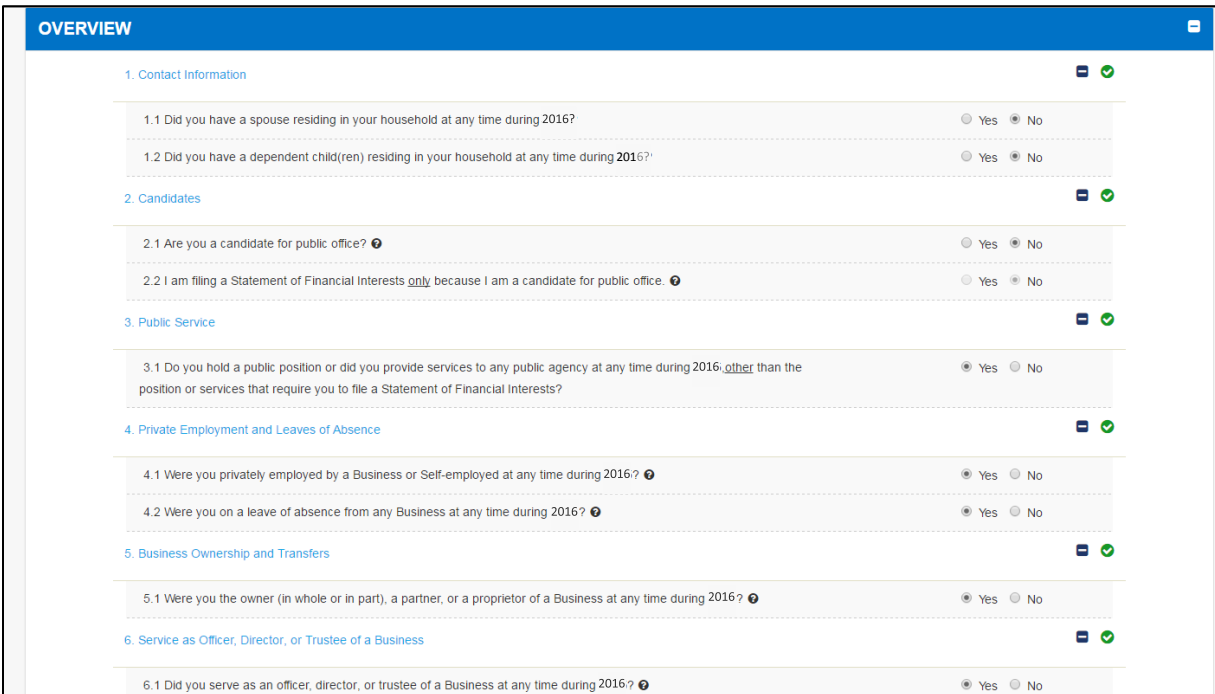
To complete the Overview Questions:

1. Click the  to open all the Overview questions.





Click the Blue + mark to open all of the Overview questions.

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






OVERVIEW


1. Contact Information  



1.1 Did you have a spouse residing in your household at any time during 2016? ☐ Yes ☒ No

1.2 Did you have a dependent child(ren) residing in your household at any time during 2016? ☐ 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 2016, 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 2016?  ☒ Yes ☐ No




4.2 Were you on a leave of absence from any Business at any time during 2016?  ☒ Yes ☐ No

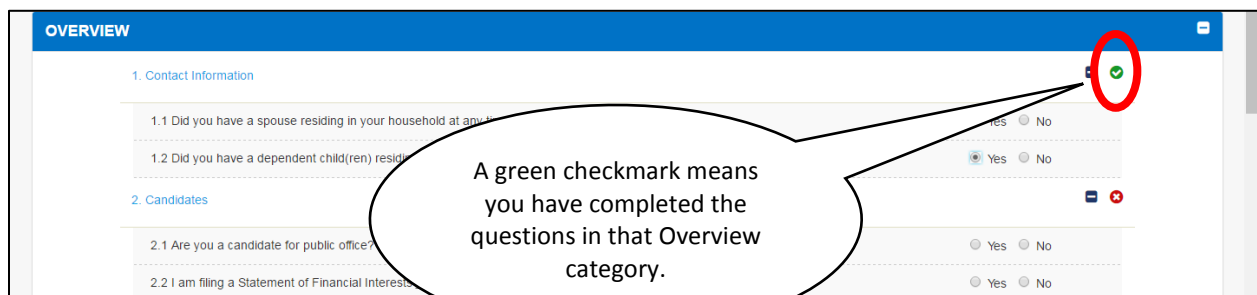
5. Business Ownership and Transfers  

5.1 Were you the owner (in whole or in part), a partner, or a proprietor of a Business at any time during 2016?  ☒ 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 2016?  ☐ 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 every question in a particular category, the  for that category will turn into a  indicating the completion of that category.





OVERVIEW

1. Contact Information  

1.1 Did you have a spouse residing in your household at any time during 2016? ☐ Yes ☒ No

1.2 Did you have a dependent child(ren) residing in your household at any time during 2016? ☒ 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 ☐ Yes ☐ No


A green checkmark means you have completed the questions in that Overview category.

3. Complete all the questions in each of the Overview categories. **NOTE:** You will not be able to advance to the next section of the CY 2016 SFI until you answer each Overview question, except in the following situations:

- If you are filing a CY 2016 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.


The screenshot shows a web form titled "9. Debts Including Mortgages" with a question: "9.1 Did you have a mortgage on your Primary Residence at any time during 2016?" with radio buttons for "Yes" and "No". Below this is section "10. Reimbursements From Certain Individuals" with question "10.1 Did you receive any Reimbursements for expenses from a legislative or executive agent (lobbyist) at any time during 2016?" with radio buttons for "Yes" and "No". Then section "11. Gifts and Honoraria From Certain Individuals" with two questions: "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 2016 from any person having a direct interest in a matter before the governmental body by which you were or are now employed?" and "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 2016 from any person having a direct interest in legislation, legislative action, or a matter before a governmental body?". Both have radio buttons for "Yes" and "No". Finally, section "12. Blind Trust" with question "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 2016?". At the bottom left is a "Back" button and at the bottom right is a "Next" button.


Click here to return to the Filer Dashboard. If you click  on the Overview Page, your answers will **not** be saved.


Click  to save your answers and advance to the next page, Contact Info.

4. After you have answered all of 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](#) if you need 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 [Add](#) 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 [Add](#) each time.

13 Did you own directly or through a Business, any Real Estate in Massachusetts as of December 31, 2016, 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, 2016, 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 2016?

[Add](#)

Click on [Add](#) to save your 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 [Update](#) 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 during 2016?

13.b Was this Real Estate transferred to you or your Business during 2016?

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

Property Address	Transferor Name	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: [Next ▶](#).
- To return to the prior page **without** saving your most recently made changes, click: [◀ Back](#).
- To work on your SFI at a later time, click: [Save Draft](#). 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: [Logout](#). **If you logout of the SFI System, your most recently made changes will not be saved.**

[Logout](#)

[Investments](#) [Debts](#) [Gifts](#) [Blind Trust](#) [Review](#) [Certification](#)

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

Note: Contact mailing address must be a physical address. A P.O. box will not be accepted.

Enter a Non-US Address: ☐

Street 1: * Street 2:

City: * State: * Zip Code: *

Spouse Information

You indicated that you did have a spouse residing in your household during 2016
[Click here to return to the Overview screen if you need to change this answer](#)

Dependent Child(ren) Information

You indicated that you did have a dependent child(ren) residing in your household during 2016
[Click here to return to the Overview screen if you need to change this answer](#)

◀ Back Save Draft Next ▶

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

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

Click **Next ▶** to save and advance to the next page.

D. The SFI Sections

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


 **Statement of Financial Interests** Hi, Mary Tester


[Logout](#)

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


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. **NOTE:** 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 time, 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.

Did you work as an employee, manager, consultant, or independent contractor of any Business at any time during 2016 5, whether compensated or not, and whether full- or part-time? 

☐ Yes ☒ No

Hold your mouse over the  to review information that will assist you in answering that question.

Business includes all corporations (for profit and not-for-profit), partnerships, sole proprietorships, firms, franchises, associations, organizations, holding companies, joint stock companies, receiverships, business trusts, real estate trusts, and any other legal entities organized for profit or for charitable purposes. It does not include government agencies; real estate trusts formed **solely** for the purpose of holding in a trust, residential property where the filer and/or one or more of the filer's family members, such as a parent, resides; and associations formed **solely** for the purpose of holding residential condominium property where the filer and/or one or more of the filer's family members, such as a parent, resides.

F. Reviewing your Responses

- Once you have completed all of the sections of the form, a draft of your completed form will be available in the Review section. You should use the draft to review your responses to ensure that they are accurate and complete prior to submitting your CY 2016 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 [Next ►](#).

Statement of Financial Interests

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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	

Back Save Draft **Print Report** **Next**

Print PDF Report.

Click **Next** to go to Certification and Submission.

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.

Select options

Filter:

☒ Check all ☐ Uncheck all

☒ 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.

☐ 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.

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Submit Filing

If you declined to answer certain questions and are asserting the information is privileged by law, select the applicable question(s).

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

CERTIFICATION

I, _____, certify under the pains and penalties of perjury that:

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.

Submitted: 04/11/2017

The following **IMMEDIATE FAMILY** member(s) declined to disclose information which is necessary to complete this form fully and accurately. You must list each dependent child(ren). Where applicable, you should answer this portion of the question by indicating the relationship, e.g., "Spouse," "Spouse and dependent child(ren)." If you are not required to file, you should enter "Not Required to File."

Did your spouse and/or any dependent child(ren) residing in your household decline to disclose information which is necessary to complete this form?

The following are the specific question(s) which I decline to answer in whole or in part because I assert that the information is privileged by law:

Select options

Please explain the basis of your claim of privilege:

IMPORTANT:

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 2016 filing before submitting.

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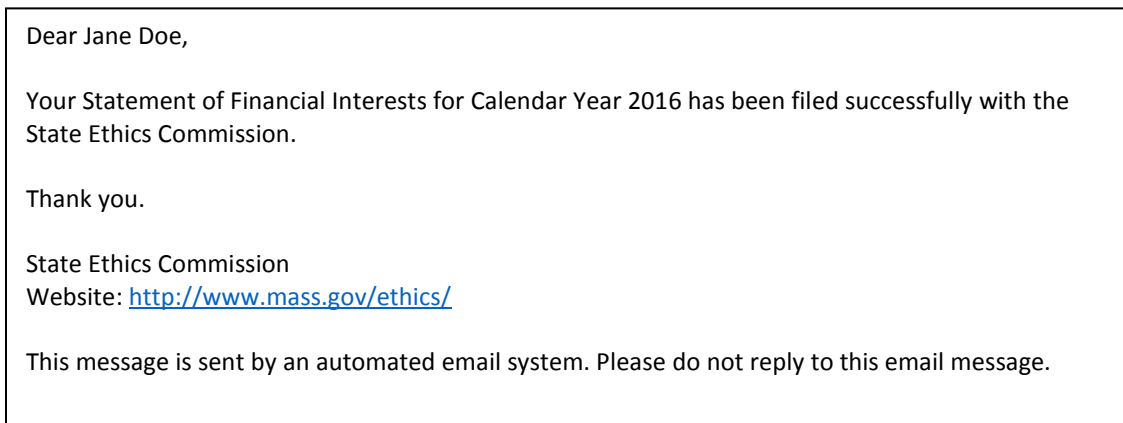
Submit Filing

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 the option to print or save a receipt of your filing. If you are a candidate for public office, you will need to provide your SFI Filing Receipt to the Secretary of State's Elections Division.



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

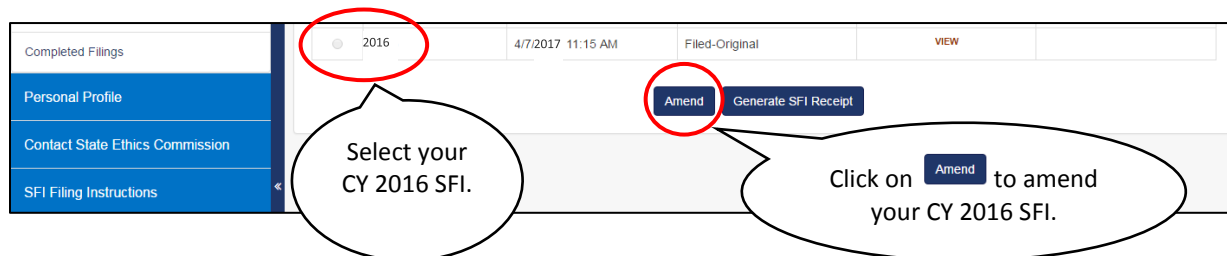


A copy of your SFI and your Filing Receipt (shown below) will be attached to this email.



V. AMENDING YOUR SFI

If you need to amend your CY 2016 SFI, go to the SFI Filings tab and click on the Completed Filings heading. Select your CY 2016 SFI and click [Amend](#).

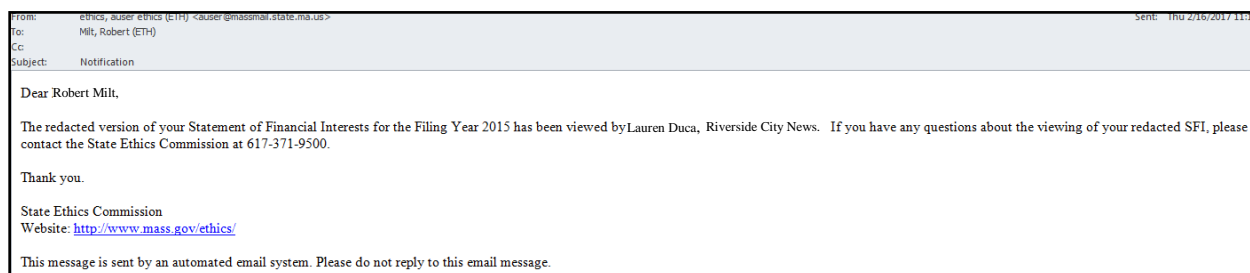


Once you click on [Amend](#), you will be able to amend your previously completed SFI. Then you will be allowed to add new information or edit any information previously provided on your SFI as originally filed. If you have any questions regarding the amendment process, please contact Robert Milt or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

VI. PUBLIC ACCESS TO SFIs

The financial disclosure law, G.L. c. 268B, provides that any SFI filed with the Commission shall be available for public inspection and copying upon written request of any individual. The SFI

system includes a new Public Inspection Module which allows an individual to request to become a public user. If an individual's request is approved by the Commission, then, as a public user, they will be able to select and view online, the redacted version of any SFI available in the system, beginning with calendar year 2015. A public user will also be able to print and/or copy any redacted SFI viewed. The law requires that written notice be provided to a filer when their redacted SFI is viewed. If your redacted SFI is viewed by a public user, and you have a current and valid email address in the SFI system, the system will send you a notification (shown below), identifying the name and affiliation, if any, of the public user, as well as the calendar year viewed.



If there is any error in your email address or your email address is not current, you will **NOT** receive a notification if your redacted SFI is viewed by a public user.

IT IS YOUR RESPONSIBILITY AS A FILER TO MAKE SURE THAT YOUR EMAIL ADDESSS IN THE SFI SYSTEM IS CURRENT AND VALID, BOTH BEFORE AND AFTER YOU LEAVE YOUR FILING POSITION. IF YOU FAIL TO DO SO, YOU WILL NOT RECEIVE NOTICE IF A PUBLIC USER VIEWS YOUR REDACTED SFI. If you do not have any email address in the SFI system, the Commission will send you notice by mail when a public user has viewed your redacted SFI.

To check your email address in the SFI system, click on Edit Personal Information under Personal Profile on your Filer Dashboard.

A screenshot of the Filer Dashboard. On the left is a blue sidebar with a menu containing 'Dashboard', 'SFI Filings', 'Personal Profile', 'Edit Personal Information' (circled in red), and 'Change Password'. The main content area shows a form for 'Edit Personal Information'. The form fields include: 'First Name' (Sam), 'Middle Initial' (F), 'Last Name' (Fallon), 'Phone Number' (with 'Work' and 'Personal' radio buttons), 'Other Phone', 'Email Address' (with 'Work' and 'Personal' radio buttons), 'Other Email Address', 'Agency' (State Ethics Commission), and 'Position' (CFO/Director of Budget of Administration). The email address field 'sam.fallon@state.ma.us' is highlighted with a blue border. A speech bubble points to this field with the text 'Make any change here.' Another speech bubble points to the 'Edit Personal Information' menu item with the text 'Click on Edit Personal Information to check your email address.'