

Secretary of the Commonwealth Annual Report

Fiscal Year 2018





William Francis Galvin Secretary of the Commonwealth



The Commonwealth of Massachusetts Secretary of the Commonwealth State Rouse, Boston, Massachusetts 02133

William Francis Galvin Secretary of the Commonwealth

Dear Citizens,

Enclosed you will find the fiscal Year 2018 Annual Report for my office. I am happy to share that the office has generated nearly \$340 million in revenue on behalf of our citizens. Fiscal Year 2018 was not without its challenges. Nevertheless, this office consistently rose to meet them, providing assistance regarding elections, public records access, mortgage foreclosure, homestead information, investor protection and historic preservation. I hope that you have the opportunity to review fully the achievements of this office on behalf of the Commonwealth. For your convenience I have highlighted some of the statistics of this agency.

The Corporations Division notified over 13,275 domestic and foreign LLCs that they were delinquent in filing annual reports. As a result of this work by the staff, 10,915 delinquent reports were filed generating \$5.4 million in revenue for the Commonwealth. Additionally, over 4700 domestic and foreign corporations and LLC's, dissolved or revoked previously, filed reinstatements with the Corporations Division. These reinstatements required the filing of over 11,000 annual reports, generating an additional \$2.3 million. Dissolution projects in this fiscal year added over \$8.3 million to the Commonwealth's coffers.

The Elections Division successfully administered a special state election in the 4th Middlesex Senate District, as well as special primaries and elections in the Bristol & Norfolk, Worcester & Middlesex, 3rd Essex and 1st Suffolk Senate Districts and the 1st Berkshire 3rd Essex, and 2nd Bristol Representative Districts. The division also began preparations for the 2018 biennial state primary and state election, including the printing of nomination papers and candidate guides, as well as the certification of candidates for governor, lieutenant governor, attorney general, secretary of state, treasurer, auditor, senator in congress, representative in congress, governor's councilor, state senator, state representative, and other district and county offices.

The Commonwealth Museum saw over 6,000 students visit the museum located in the Archives Building at Columbia Point for field trips. The Archives Division had 1,600 researchers visit the Archives Reading Room and more than 4,300 email inquiries. Under the supervision of DCAMM and in collaboration with Archives staff, formal construction commenced in February 2018 to convert 25,000 square feet of the existing State Records Center into secure, environmentally controlled storage space for permanent collections.

The Massachusetts Historical Commission (MHC) MHC reviewed 2,787 federal projects and 8,850 state projects. Ongoing enhancements to MACRIS (Massachusetts Cultural Resources Information System) on-line database continues to improve the public's ability to search and access MHC's state-wide inventory of historic properties via the internet.

The Public Records Division issued over 1,700 determinations concerning access to public records. The Division opened and resolved 133 petitions from records access officers relating to fees, time extensions or relief of the obligation to provide record.

Division closed 57 records access officer petitions and resolved 1582 appeals on behalf of our citizenry. The lobbying section of the office processed over 12,000 transactions relating to lobbyist registration and disclosure bringing in over \$700,000 in registration and late fees.

These are just a few of the highlights regarding this office. For more information please take a few minutes to read the information, by division, in this Annual Report.

Whatever the need or the question our staff continues to provide information and direction to our citizens. If you need assistance don't hesitate to call this office on our toll free number at 1-800-392-6090 where your call will be answered by a staff person.

Very Truly Yours,

William Francis Galvin Secretary of the Commonwealth

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Office of the Secretary of the Commonwealth

State House, Room 337 Boston, MA 02133 Website: www.sec.state.ma.us

0511-0001 For the secretary of the commonwealth; provided, that the secretary may expend retained revenues not to exceed \$15,000 from the sale of merchandise at the state house gift shop to restock gift shop inventory
0511-0002 For the operation of the corporations division; provided, that the division shall implement a corporate dissolution program; and provided further, that the secretary shall file biannual reports with the house and senate committees on ways and means detailing the total number of reports filed as a result of this program and the amount of revenue generated for the commonwealth
0511-0200 For the operation of the archives division; provided, that \$200,000 shall be expended for preservation matching grants for municipalities and nonprofit organizations to preserve veterans monuments, memorials and other significant sites and historic documents; and provided further, that the program shall be administered by the state historic records advisory board
0511-0230 For the operation of the records center \$35,118
0511-0250 For the operation of the archives facility \$296,326
0511-0260 For the operation of the commonwealth museum
0511-0270 For the secretary of the commonwealth, who shall contract with the University of Massachusetts Donahue Institute to provide the commonwealth with technical assistance on United States census data and to prepare annual population estimates; provided, that the contract shall be for not less than \$325,000\$574,980
0511-0420 For the operation of the address confidentiality program\$135,615
0517-0000 For the printing of public documents\$503,089
0521-0000 For the operation of the elections division, including preparation, printing and distribution of ballots and for other miscellaneous expenses for primary and other elections; provided, that the secretary of the commonwealth may award grants for voter registration and education; and provided further, that the registration and education activities may be conducted by community-based voter registration and education organizations

0521-0001 For the operation of the central voter registration computer system; provided, that an report detailing voter registration activity shall be submitted to the house and senate committees means not later than February 1, 2018	on ways and
0524-0000 For providing information to voters	\$385,000
0526-0100 For the operation of the Massachusetts historical commission; provided, that not less \$50,000 shall be expended for the historic restoration of the Levi Wetherbee farm located on Mid the town of Boxborough	ddle road in
0527-0100 For the operation of the ballot law commission	\$10,281
0528-0100 For the operation of the records conservation board	\$36,036
0540-0900 For the registry of deeds located in the city of Lawrence; provided, that the North Est registry of deeds may pursue a pilot program with the Essex county sheriff's office to share leased office space	
0540-1000 For the registry of deeds located in the city of Salem	\$2,809,828
0540-1100 For the registry of deeds located in the county of Franklin	\$622,922
0540-1200 For the registry of deeds located in the county of Hampden	\$1,752,422
0540-1300 For the registry of deeds located in the county of Hampshire	\$549,081
0540-1400 For the registry of deeds located in the city of Lowell	\$1,153,041
0540-1500 For the registry of deeds located in the city of Cambridge	\$3,176,531
0540-1600 For the registry of deeds located in the town of Adams	\$267,107
0540-1700 For the registry of deeds located in the city of Pittsfield	\$456,085
0540-1800 For the registry of deeds located in the town of Great Barrington	\$227,374
0540-1900 For the registry of deeds located in the county of Suffolk	\$1,906,109
0540-2000 For the registry of deeds located in the city of Fitchburg	\$678,783
0540-2100 For the registry of deeds located in the city of Worcester	\$2,232,873

Year – End Revenue for Fiscal 2018

Revenue was broken down into (4) categories for a total of	\$340,709,827.41
Corporations, Archives, Public Records	\$119,473,081.41
Gift Cart, Bookstore	\$476,136.90
Securities	\$58,706,833.66
Registries of Deeds	\$162,053,775.44

The Address Confidentiality Program

P.O. Box 9120 Chelsea, Massachusetts 02150-9120 617-727-3261 1-866-SAFE-ADD Website: www.sec.state.ma.us/acp

The Address Confidentiality Program (ACP) allows victims of domestic violence, sexual assault and stalking to escape from actual or threatened violence by providing a substitute mailing address to program participants, allowing them to keep their new physical address hidden from their perpetrator. The ACP, established by Chapter 409 of the Acts of 2000, became effective in Massachusetts April 9, 2001. Since that date, more than 1400 participants have benefited from services provided by the Program.*

Between July 1, 2017 and June 30, 2018, the program certified 64 new participants. As of June 30, 2018, the Program's 320 active participants included 149 women, 8 men and 163 children. The ACP processed approximately 2300 pieces of mail each month.

Counties Represented

Barnstable9
Berkshire0
Bristol12
Essex
Franklin1
Hampden
Hampshire7
Middlesex
Norfolk25
Plymouth12
Suffolk
Worcester
Total Participants

Corporations Division

One Ashburton Place, Room 1717 Boston, MA 02108 (617) 727-9640 Email: corpinfo@sec.state.ma.us Website: www.sec.state.ma.us/cor

The Corporations Division administers the laws pertaining to certain business entity types including corporations, limited liability companies, limited partnerships, limited liability partnerships, and business trusts. Trademarks and service marks are also filed with the Division as well as certain Article 9 Uniform Commercial Code (UCC) filings. All providers of warranties for vehicle protection products are also required to register with the Division. Finally, the Division is deemed to be the agent for service of process on certain foreign entities and/or individuals doing business in the Commonwealth if that entity or person does not have an agent or fails to act as such.

The Division maintains a website which includes copies of all business entity, trademark, service mark and UCC filings made with the Division since 2001. Documents may be submitted electronically 24 hours a day, 7 days a week. A brief summary of the Division's accomplishments for 2017 – 2018 include:

- The Division notified 13,275 domestic and foreign LLCs that they were delinquent in filing annual reports with the Division. As a result, 10,915 annual reports were filed with the Division, generating, \$5,457,500.00 Additionally, over 4700 domestic and foreign corporations, LLCs and limited partnerships, dissolved or revoked previously, filed reinstatements with the Division. These reinstatements required the filing of over 11,000 annual reports, generating an additional \$2,386,250.00. The total revenue generated from dissolution projects in this fiscal year is \$8,322,950.00.
- The Division's online filing and management system continued to be a leader throughout the country and a strong example of how other jurisdictions' should adapt their current online systems. The online filing system allows filings to be made 24 hours a day, 7 days a week, which is the preferred method of filing within the business community, as exhibited by the fact that almost 80 percent of filings made in the Commonwealth are made electronically. The system is not only utilized for filing, but is an all-inclusive portal for the services provided by the Division. The public may order certificates, which may be delivered via email, search the records of any business entity, view the records of those entities, and view any document rejected by the Division and the reason for that rejection via the Division's website. The system continues to be upgraded to move with technology today and address concerns of the filing public.
- Over 48,000 new business entities and non-profit corporations organized or registered to do business with the Division. The number of limited liability companies continued to follow the trend of the last few years by being the preferred entity type two to one.

Elections Division

One Ashburton Place, Room 1705 Boston, MA 02108 (617) 727-2828, Toll Free: 1-800-462-VOTE (8683) Email: elections@sec.state.ma.us Website: www.sec.state.ma.us/ele

The Elections Division administers all state elections, provides information on voting, and supplies election materials to the public, candidates and government officials.

During FY 2018, the Elections Division successfully administered a special state election in the 4th Middlesex Senate District, as well as special primaries and elections in the Bristol & Norfolk, Worcester & Middlesex, 3rd Essex and 1st Suffolk Senate Districts and the 1st Berkshire 3rd Essex, and 2nd Bristol Representative Districts. As part of the election process, the Division provides candidates with nomination papers and certifies candidates for ballot placement, prepares and prints the ballots for both the primaries and elections and thereafter compiles the results for certification. Moreover, the Elections Division prepared and sent certificates of election to those elected.

During FY 2018, the Elections Division also began preparations for the 2018 biennial state primary and state election, including the printing of nomination papers and candidate guides, as well as the certification of candidates for governor, lieutenant governor, attorney general, secretary of state, treasurer, auditor, senator in congress, representative in congress, governor's councilor, state senator, state representative, and other district and county offices.

The Elections Division worked closely with the Federal Voting Assistance Program in FY 2018 to ensure that military and overseas voters could apply for their 2018 absentee ballots. The preparation of 2018 State Primary absentee ballots began at the end of FY 2018.

During FY 2018, the Elections Division strengthened relationships with other state and federal agencies with resources to assist in election cyber security. Elections Division staff participated in tabletop exercises hosted by Harvard University's Belfer Center, focused on democracy protection.

The Elections Division published an updated Election Resources Handbook as part of an annual training for local election officials, providing in-depth information on election laws and regulations, and election administration best practices. Elections Division staff travelled to clerks conferences to provide in-person training to local election officials and also travelled to several communities around the Commonwealth to provide trainings directly to poll workers.

During FY 2018, the Elections Division provided voter registration materials to agencies in compliance with the National Voter Registration Act. The Elections Division offered voter registration at various community events including March for Our Lives and Boston Pride. The Elections Division also prepared and provided

other election materials, including forms and envelopes, to local election officials as required by law in addition to surveying polling places to ensure accessibility.

Additionally, the Elections Division filed a number of elections related bills with the Legislature and provided comments on relevant legislation.

Lobbyist Division

One Ashburton Place, Room 1719 Boston, MA 02108 617-727-9122 Email: lob@sec.state.ma.us Website: www.sec.state.ma.us/lob

The Lobbyist Division is responsible for the oversight and enforcement of lobbyist registration and disclosure reporting. The Lobbyist Division functions to ensure that lobbyists register with this office when required, and that the registered lobbyists and clients fully disclose all information required by the Massachusetts Lobbying Law.

The Lobbyist Division has

- Processed over 12,844 transactions relating to lobbyist registration and disclosures totaling over;
- Collected over \$716,256 dollars in fees (includes registration fees and late fees)
- Worked with IT to ensure the continuous integrity of the Lobbyist System;
- Began preparations for implementation of the New Lobbyist Reporting System:
- Responded to a high volume of daily telephone and email inquiries regarding the Lobbying Law;
- Responsible for reviewing over 7,034 disclosure reports for compliance with the Lobbying Law, reports filed biannually;
- Regularly analyzed up to 25 different reports for review by the Secretary and
- Coordinated and set up registration and disclosure assistance on a one on one basis.

Massachusetts Archives

220 Morrissey Boulevard Boston, MA 02125 (617) 727-2816 Email: archives@sec.state.ma.us Website: www.sec.state.ma.us/arc

The Massachusetts Archives, a division of the Office of the Secretary of the Commonwealth, manages, preserves, and makes accessible the permanent, non-current, records of state administration. Such records have been created since colonial times by the legislative, judicial and executive branches – the latter including the governor, other constitutional officers, and state agencies and commissions. Collections at the Massachusetts Archives document the structure and basis of state government, and the basis, form, and function of state law, record keeping, and services.

DIVISIONAL OVERVIEW

The Archives accessioned 191 cubic feet of records from state agencies in FY2018. At the end of FY2018, our total volume equaled 27,100 cubic feet of records.

Internal Projects and Collaborative Initiatives

New Vault Construction

Under the supervision of DCAMM and in collaboration with Archives staff, formal construction commenced in February 2018 to convert 25,000 square feet of the existing State Records Center into secure, environmentally controlled storage space for permanent collections (SEC1502 HS1). The scope of the project includes improvements to current building systems within the renovated portions of the SRC (HVAC, electrical, fire protection, security, etc) that will serve the added archival storage space and include integration of those systems with the systems now serving the building. The work will also provide code-mandated improvements to the egress points relative to the new storage area, as well as accessibility upgrades required for ADA compliance. Completion of the new vault capacity is slated for the end of 2018.

New Collections Agreements

The Massachusetts Archives has entered into formal agreements with both the Office of the Massachusetts Adjutant General and the Massachusetts Supreme Judicial Court in regard to the transfer of select military and judicial records to the care, custody, and management of the Archives pending completion of the its new vault storage. In each instance, transfer of materials will be attended by the addition of professional archivists to the staff of the Massachusetts Archives to ensure enhanced preservation and access to these materials.

Coordinated Statewide Emergency Preparedness Massachusetts (COSTEP MA)

The Massachusetts Archives continues to be a lead partner in COSTEP MA, a state-wide collaborative that

brings together a wide-variety of cultural heritage institutions and custodians with federal, state, and local emergency managers to safeguard the Commonwealth's historic sites and collections in the event of disaster. Activities during this fiscal year have focused on expanding the membership base and refining mission priorities and capacity.

Commemorative Committees and Commissions

The Massachusetts Archives has continued its participation as active an active member of both the Plymouth 400 Commission (celebrating the 400th anniversary of the Mayflower voyage and founding of Plymouth Colony) and the Revolution 250 Commission (commemorating the 250th anniversary of events that led to the American Revolution). In association with the Commonwealth Museum, the Archives has also been a significant contributor to the Women's Suffrage Celebration Coalition of Massachusetts as it commemorates the 100th anniversary of passage of the 19th Amendment.

REFERENCE SERVICES

1,600 researchers visited the Archives Reading Room during the past year. The staff retrieved approximately *550 records* from the vaults for onsite research and filed more than *11,000 reels* of microfilm after patron usage.

The reference staff received more than *4,300 e-mail inquiries* over the course of the year. In keeping with trends seen over the past few years, the number of e-mail inquiries received has continued to grow, even as requests in other formats have shrunk. As the number of records made available online continues to grow, researchers have much more flexibility when it comes to accessing records without visiting the facility. On the other hand, the reference staff now spends a considerable amount of time answering questions and guiding researchers through the steps necessary to access materials online.

The Archives received approximately *1,600 pieces of mail* during the past year. Inquiries arrived from all corners of the world. More than three quarters of these requests were from individuals living outside of Massachusetts, including other states in America, as well as Canada, Europe, and Australia.

The Archives Reference Staff continues to spend considerable time pulling vital records books for the years *1921 through 1925*. These records constitute the vast majority of requests for certified copies. Digitization of this collection began in February 2018 and continued through the Fiscal Year. The project should be completed during 2019.

Approximately *75 researchers* arranged to view *architectural plans* at the Archives, and the staff retrieved more than 150 separate plans for these appointments. This collection continues to receive heavy use, with roughly one to two appointments per week throughout the year.

Finally, the Archives staff scanned and digitally reproduced more than *250 separate items* from the collection. Despite the advances in the digitization of microfilm over the past year, this remains a popular option for researchers interested in obtaining high quality images of documents.

ELECTRONIC RECORDS

Archival Collection Management System (ACMS)

The Archives continues its use of Re:Discovery Proficio for the management of collection data for both physical and digital materials. The Archives has published pdf finding aids on the Archives' website which provide information on all Record Groups and Series and had successfully updated the information twice, on a six month review schedule. The Archives increased our concurrent user allotment for Proficio from 5 to 10, which demonstrates the degree to which the tool has been embraced by the staff, particularly in Reference. The Archives has engaged in conversations with the vendor to customizing this product and allow for a public online interface.

Trusted Digital Repository System (TDR)

The Archives has spent FY19 working with the Secretary's IT Office to upgrade the Preservica repository tool to version 5.10 Enterprise Edition. The publically accessible Digital Repository was launched on January 15, 2019 (http://digitalarchives.sec.state.ma.us/) .The repository currently manages and preserves over 160,000 digital files (up from 127,000 last year), including documents, still images, and videos that are designated as permanent records of the Commonwealth. New collections brought in this fiscal year include

- 1916 Death Certificates
- Town Plans, 1830
- Several series of the Executive Office of Energy and Environmental Affairs
- Massachusetts Cultural Council Folk Arts and Heritage collection
- Versatile Records Retention System

Work is underway to update portions of the Municipal Schedule, specifically the Public Safety sections. The Digital Archives staff has provided extensive support for records management both at the state and municipal level.

Versatile Professional

The Archives added an import module to the State Records Center system and is in the process of expanding its use to the Archival holdings, which will include using Versatile Professional to barcode the new shelves in vaults 500-700. The Archives also upgraded Versatile Professional to its current version, version 5.1.0, and increased our user accounts from 5 to 10. With the construction of new vault space, emphasis on box disposition in the Records Center was minimal although the Archives staff has undertaken a review of several caches of permanent records that were in the SRC and will be working to transition them to the Archival holdings.

LABBB C.A.M.P. (Creating Access Metadata Project)

The Archives entered into an agreement with the LABBB Educational Collaborative to provide

a transitional work experience for young adults with special needs. The project has employed 10 students and they have created metadata for over 7,800 architectural plans index cards.

Staffing

Assistant Digital Archivist, Alejandra Dean, has been greatly influential in the successful deployment of the public Digital Archives Repository. Ms. Dean has also expanded her participation in the office beyond digital preservation to include records center management, COSTEP MA, and the State Historical Records Advisory Board.

Veronica Martzahl, Digital Archivist, transitioned to working remotely. The majority of her time is spent in support of records management.

Commonwealth Museum

Field Trip Program

The Commonwealth Museum welcomes school groups, parents and teachers, nearly every school day from late September through June. The free program is popular with teachers and is often booked over a year in advance. In addition to tours of the main exhibit, students participate in classroom programs with a variety of options including: State Symbols, Antique Maps, the Trial of British soldiers after the Boston Massacre, Archaeology of the Big Dig, and an Immigration Board Game. Over six thousand students visited with more than a thousand teachers and chaperones.

Summer Open House

During the summer the museum had two special openings, "Free Fun Friday," sponsored by the Highland Street Foundation, which brought over 600 visitors, and a Fourth of July opening that attracted 1,500 to see the official Massachusetts copy of the Declaration of Independence sent by the Continental Congress during the American Revolution. The museum also opened on summer weekends.

Celebrating Women's Suffrage

The museum has partnered with the Women's Suffrage Celebration Coalition of Massachusetts to commemorate the passage of the 19th Amendment guaranteeing women's suffrage in 1920. Each month we feature a "Suffragist of the Month" with a lobby panel and website posting. This has been a very successful initiative with positive reactions from across the country. Panels have also been displayed as traveling exhibits at the Edward M. Kennedy Center for the United States Senate and at shops in the Prudential Center during a December lighting ceremony. We anticipate additional activities as the anniversary approaches.

Lobby Exhibits

The museum also mounts lobby exhibits. Recent subjects have included "Food for Thought" that highlighted the origins of Massachusetts foods (foods of Native People and foods brought by English colonists), and an exhibit about the Dorchester Industrial School for Girls that featured archaeological findings and stories about at risk girls who were trained for domestic service. For Black History Month we mounted an exhibit about Roxbury history that included original photography by artist Anthony Lanier.

Traveling Exhibits and Speaking Programs

Former lobby exhibits are offered as traveling exhibits. They have been displayed across the Commonwealth from Northampton to Cape Cod in libraries and town halls. Some request presentations by the museum director. (This sometimes leads to additional speaking invitations on other topics.) Among the venues that have scheduled lectures are Plimoth Plantation, Plymouth Public Library, Framingham Town Hall, Massasoit Community College, Marblehead's Abbot Public Library, Regis College, the Charles River Museum of Industry and Innovation, and Worcester Public Library.

General Visitation

Walk in visitors have increased along with groups including visitors from senior centers, programs for the developmentally disabled, Girl Scouts and college groups from Curry College and the University of Massachusetts Boston among others. Total museum attendance is approximately 25,000 visitors.

Massachusetts Historical Commission

220 Morrissey Boulevard Boston, Ma 02125-3314 (617) 727-8470 Email: mhc@sec.state.ma.us Website: www.sec.state.ma.us/mhc

The Massachusetts legislature established the Massachusetts Historical Commission in 1963 to identify, evaluate, and protect the significant historic and archaeological assets of the commonwealth. The MHC is the state historic preservation office (SHPO) and the Office of the State Archaeologist and has a staff of architectural historians, preservation planners, historians, architects, geographers, and archaeologists distributed among three divisions: preservation planning, technical services, and grants.

The Preservation Planning Division and the State Archaeologist maintain the Inventory of Historic and Archaeological Assets of the Commonwealth, which is the foundation for most preservation activities. Staff of the Preservation Planning Division act as liaison to local governments to help with local preservation initiatives such as local historic districts, preservation bylaws, local historical commissions, and the Certified Local Government program. The MHC administers the National Register program in Massachusetts and is a national leader in nominating properties. The Preservation Planning Division maintains the State Register of Historic Places, which is the master list of all designated properties in the Commonwealth.

When funds are available the MHC's grants division administers the Massachusetts Preservation Projects Fund, a matching grant program for historic and archaeological properties owned by municipalities or nonprofit organizations. Survey & Planning grants provide matching federal funds to Certified Local Governments and other qualifying organizations for preservation projects including preparing community architectural and archaeological surveys, preservation plans, historic district design guidelines, and National Register nominations.

The Technical Services Division manages both the Federal Investment Tax Credit program and State Historic Rehabilitation Tax Credit. As the SHPO, the MHC consults with federal agencies in reviewing federal projects for their effects on significant historic and archaeological properties. The MHC has similar authorization under state law to comment on projects that are licensed, permitted, or funded by a state agency.

The State Archaeologist oversees archaeological excavations on public lands and issues permits for excavations to ensure that archaeological resources are properly excavated and conserved. The State Archaeologist sponsors Massachusetts Archaeology Month every October and oversees the curation and exhibit of archaeological collections through the Commonwealth's Archaeological Curation Center at the MHC.

The Massachusetts Historical Commission (MHC) carried out its mission and statutory responsibilities in state FY18.

Survey, Preservation Planning, and Local Government Assistance

Ongoing enhancements to the MACRIS (Massachusetts Cultural Resources Information System) on-line database continue to improve the public's ability to search and access MHC's state-wide inventory of historic properties via the internet. In FY18, MHC continued to create and link digital-format versions of new and updated inventory forms and National Register nominations to the searchable MACRIS on-line database as they are received and processed into MHC files. MHC also continued to update its statewide Geographic Information System (GIS) data on the location of historic properties and archaeological sites in the statewide inventory, and to make this data publicly accessible through its GIS web site, MACRIS Maps, with access to protected archaeological site data available to staff and approved authorized external users only.

During FY18, assistance to city and town governments, in particular, the local historical commissions, historic district commissions, and local historic district study committees, was provided regularly throughout the year via phone, email and on-site meetings. Regional training workshops were presented in cooperation with Historic New England, Preservation Massachusetts, Berkshire Regional Planning Commission, Franklin Regional Council of Governments, Pioneer Valley Planning Commission, Cape Cod Commission, Metropolitan Area Planning Council, Merrimack Valley Planning Commission and the Martha's Vineyard Commission. Workshops were held in the cities and towns of Stow, Gosnold, Danvers, Salisbury, Tewksbury, Haverhill, Oak Bluffs, Hopkinton, Easton, Barnstable and New Braintree and included topics such as an Introduction to Historic Preservation Planning, Secretary of the Interior Standards, and Establishing Local Historic Districts. MHC staff presented two workshops at the statewide historic preservation conference. These were Benefits of Historic Preservation and Historic Preservation: With or Without a Local Historic District.

Survey and Planning Grants

In FY18, MHC staff successfully managed 18 projects representing a pass-through of \$260,500 in matching federal funds to local communities in the federal FY17 statewide Survey & Planning Grant round, including 15 neighborhood and communitywide historic properties surveys, 1 planning project, 1 archaeological survey/National Register nomination project, and 1 staff support project. In addition, MHC awarded 8 new projects representing a pass-through of an additional \$114,000 in matching federal funds to local communities in the federal FY18 Survey & Planning Grant round, including 6 neighborhood and communitywide historic properties surveys, 1 National Register nomination project, and 1 design guidelines update project.

National Register of Historic Places

MHC's National Register of Historic Places program continued to maintain a high level of new designation activity and continued to fund the editing and preparation of National Register nominations. During State FY18, 17 new nominations were brought to the State Review Board, including National Register districts in Bolton, Boston, and Fitchburg. Also among the nominations were the Goshen Town Hall, built in the Classical Revival style in 1911 and still the town's center for government and community life; the Robert

Strong Woodward House in Buckland, a collection of mid-19th century residential and farm buildings that was also the home and studio of artist Woodward, whose work focused on landscapes and who traveled widely to paint New England scenes, despite living as a paraplegic; the Pomeroy Terrace District in Northampton, a large neighborhood of fine 19th and early 20th century residences and institutional buildings near downtown Northampton that also includes a large cemetery in use from the 17th century to the present; and the Hampden County Training School, a public residential facility built in 1916 by the state and county to educate and reform young boys and recently rehabilitated for veterans' housing. MHC directly funded the preparation of six National Register nominations during State FY18, including one for a waterfront village in Somerset that, when listed, will be the community's first district designation.

State Historic Rehabilitation Tax Credit

The state tax credit for rehabilitation of historic properties was originally implemented in FY04 and has continued into FY18. The state tax credit program has been extended by the Legislature to expire December 31, 2022. The annual cap of \$50 million was increased to \$55 million a year under Chapter 99 of the Acts of 2018 Sections 10 and 18, which was enacted into law in May 2018. This program operates on the calendar year (tax year), during which there are three application cycles (in January, April, and August). The MHC reviewed 563 applications in State FY18 (Rounds 40, 41, and 42).

Federal Historic Rehabilitation Tax Credit

The MHC, as the office of the State Historic Preservation Officer, reviews and comments on applications made for federal historic rehabilitation tax credits, and forwards the applications to the National Park Service with written recommendations. The MHC reviewed 55 new federal tax credit projects during federal fiscal year 2018 (October 1, 2017 - September 30, 2018).

Review and Compliance

The number of projects reviewed in Review and Compliance continues at high levels. As the office of the State Historic Preservation Officer, the MHC continued its review in a timely manner of projects funded, licensed, or permitted by federal agencies in compliance with Section 106 of the National Historic Preservation Act (36 CFR 800). Similarly, the MHC continued its review of state projects under the state historic review regulations (950CMR71) in a time-sensitive manner. End–of-the year statistics of the number of projects reviewed by MHC are compiled on the federal fiscal year. The MHC reviewed 2,787 federal projects and 8,850 state projects between October 1, 2017 and September 30, 2018.

Preservation Restrictions

MHC staff continued to review, comment on, and approve preservation restriction agreements under the statutory authority of M.G.L. Chapter 184, section 32. The volume of preservation restriction agreements requiring approval remains high, particularly as municipalities require protective restrictions as a condition

of the awarding of local Community Preservation Act grants, and of the granting of local variances and permits in a variety of planning, zoning and development contexts involving historic properties and sites. MHC continues to provide technical assistance to property owners, municipalities, and non-governmental restriction-holding organizations on issues related to the development of preservation restrictions.

Massachusetts Preservation Projects Fund

For State FY18 (MPPF Round 24), the MHC received 37 applications with total requests for funding of \$2.1 million. Actual awards for MPPF Round 24and FY18 Emergency MPPF combined were 24 projects totaling \$1.1 million. State FY19 (Round 25) is the next year of MPPF funding pending authorization.

Archaeology

The MHC, as the office of the State Archaeologist, continued to oversee archaeological excavations in the state, issue State Archaeologist's permits to qualified professional archaeologists, and manage the curation of state-owned archaeological collections. The MHC has recognized the success of organizing Archaeology Month as an appropriate venue for educating the public about archaeology. October 201-76 was designated Archaeology Month with its theme being Delving into the Past. Over 60 events were held across the state.

In addition, MHC's website continues to maintain "MHC's Archaeological Exhibits Online" found at: www. sec.state.ma.us/mhc/mhcarchexhibitsonline/ and additional archaeology resources and popular reports at http://www.sec.state.ma.us/mhc/mhcarch/archidx.htm.

Public Records Division

One Ashburton Place, Room 1719 Boston, MA 02108 (617) 727-2832 Email: pre@sec.state.ma.us Website: www.sec.state.ma.us/pre

The Public Records Division consists of a Legal Section, Boards and Commissions Section and a Records Management Unit. The Legal Section assists the Supervisor of Records in administering the Massachusetts Public Records Law. The Legal Section also reviews requests for authorized use of the Great Seal of the Commonwealth as well as its Coat of Arms. The Boards and Commissions Section maintains records of governor appointments, certifies official signatures, administers oaths of office and files information submitted by clergy and other officiants seeking authorization to solemnize marriages in the Commonwealth. The Records Management Unit assists cities and towns in the Commonwealth on issues associated with retention and storage of government records.

Legal Section

Under the authority of the Supervisor of Records, the Legal Section annually:

- Processes and opines on appeals from petitioners denied access to government records by state and municipal agencies, including follow-up after closing each administrative appeal;
- Answers thousands of questions each year involving interpretation of the public records statutes and regulations; and
- Provides training to government employees and their agents throughout Massachusetts.

The Boards and Commissions Section

The Boards and Commissions Section annually:

- Tracks the appointments of notaries public in Massachusetts;
- Administers the oaths of office to notaries, justices of the peace and other state appointments;
- Maintains records related to appointments to various boards and commissions;
- Prepares certifications of official signatures;
- Reviews and accepts information by in-state and out-of-state clergy requesting authorization to solemnize marriages in the Commonwealth, as well as one day solemnizations; and
- Keeps certain records of city and town clerks, local options, housing and redevelopment authorities and commissioners to qualify.

The Records Management Unit

The Records Management Unit operates under the authority of the Supervisor of Records, assisting state and local government entities in creating, managing, securing, and preserving records needed to conduct business and protect the rights and obligations of citizens and government.

Annual Update – July 1, 2017-June 30, 2018

What follows is a summary of some of the accomplishments and initiatives of the Public Records Division.

The Legal Section

- Issued over 1,738 determinations concerning access to public records;
- Opened and resolved 133 petitions from records access officers relating to fees, time extensions or relief of the obligation to provide records;
- Led seminars concerning the Public Records Law to government offices and associations;
- Issued 9 advisories on the proper use of the State Seal, Coat of Arms and Flag of the Commonwealth;
- Received and filed 13 Security Breach notifications from state agencies pursuant to chapter 93H of the General Laws;
- Reviewed and provided comments to the legislature and its committees on draft legislation;
- Received filings from 157 different state agencies containing information about 22,572 public records requests received by these state agencies in calendar year 2017

The Boards and Commissions Section

- Received:
 - ° \$844,866 in connection with Notary Public registrations, verifications and name changes;
 - \$450,354 in connection with certification of documents;
 - ° \$13,925 in connection with Justice of the Peace registrations; and
 - ° \$142,845 in connection with Solemnizations to Perform Marriage
 - Certified over 6,900 One Day Solemnization applications through the online One Day Solemnization application system

The Records Management Unit

- Provided on-site record management trainings or conducted records management and security surveys for municipalities;
- Provided records management trainings at meetings of municipal officers associations;

- Provided assistance to Public Records Division staff attorneys during public records request appeals investigations as well as follow-up services after resolution of the appeal including records management trainings or surveys;
- Provided assistance to municipal officials seeking to dispose of public records, approving hundreds of appropriate requests for destruction of records;
- Provided records disposition, recovery, and preservation assistance to numerous communities following flooding, burst pipes, minor fires, vermin and mold infestations;
- Provided preservation assistance; and
- Provided support for activities of the Coordinated Statewide Emergency Preparedness (COSTEP) joint initiative.

Registries of Deeds

One Ashburton Place, Room 1710 Boston, MA 02108 (617) 727-7089 Website: www.sec.state.ma.us/rod

Following the abolition of some county governments in the latter 1990s, M.G.L. c.34B §10 stipulates that employees of abolished county's registers of deeds shall become employees of the Commonwealth under the supervision of the Secretary of the Commonwealth. The Secretary's responsibility over the Registries of Deeds includes general direction, operational procedures, and budgetary oversight subject to appropriation. The following 13 Registries of Deeds act under the auspices of the Secretary of the Commonwealth: Northern Berkshire, Middle Berkshire, Southern Berkshire, Northern Essex, Southern Essex, Franklin, Hampden, Hampshire, Northern Middlesex, Southern Middlesex, Suffolk, Northern Worcester, and Worcester.

The Register of Deeds is responsible for maintaining a permanent, public record of all property drawn legal documents submitted by the public relative to real estate, including deeds, mortgages, surveyor and architect plans, liens, certificates of title and other records affecting title of property. The Register of Deeds is an elected official with a term of six years, and by virtue of the office is also an Assistant Recorder of the Massachusetts Land Court. All deed transactions recorded in the Land Court section of the Registry of Deeds pertain to registered land, the title of which is insured by the Commonwealth.

- FY 18 Gross Revenue to General Fund: \$162,053,775.44.
- Electronic recording has been expanded and we are looking at implementing it in Registered Land.
- Adding in Security features to the Registry of Deeds MPLS Network.
- Disaster Recovery has been expanded to a Business Continuity Plan to allow for more flexibility.
- Secretary's office held the Technology Advisory Committee meeting in January.
- Registry of Deeds inventory was processed and audited at all sites.
- Worked on expanding our Electronic Images.

Securities Division

One Ashburton Place, Room 1701 Boston, MA 02108 (617) 727-3548, Toll Free: 1-800-269-5428 (in Massachusetts only) Email: securities@sec.state.ma.us Website: www.sec.state.ma.us/sct

Corporate Finance Section

Corporate Finance Staff: 7

Filing Type	Number of Filings	Filing Fee Amount
Exemption		
14.402(B)(13)(i)	180	\$114,250.00
14.402(B)(13)(l)	3,391	\$1,961,450.00
402(b)(11)(B)	3	\$300.00
402(b)(9)(B)	13	\$2,750.00
Sub Total	3,587	\$2,078,750.00
Notice		
Closed End - Electronic	35	\$16,000.00
Closed End - Paper	138	\$111,800.00
Face Amount Certificate Company - Paper	1	\$1,250.00
Open End - Electronic	12,322	\$16,298,750.00
Open End - Paper	13,512	\$17,867,500.00
Unit Investment Trust - Paper	1,448	\$1,086,000.00
Sub Total	27,456	\$35,381,300.00
Registration		
by Coordination	127	\$166,790.01
by Qualification	3	\$3,000.00
Sub Total	130	\$169,790.01
U-2		
None	3,140	
Sub Total	3,140	
Total Filings	34,313	\$37,629,840.01

Registration, Inspections, Compliance & Examinations (Rice) Section

Investment Adviser Examinations TOTAL Exams	67	Average AUM examined
Total Assets Under Management Examined	\$1,100,097,229.00	\$11,703,162.01
Registrations - Broker-Dealers (BD)		
Broker-Dealers with an Approved status	2059	
Broker-Dealers with a No Status status	51	
Broker-Dealers with a Conditional Restricted status	0	
Broker-Dealers with a Limited status	0	
Broker-Dealers with a Termination Requested status	6	
Non-FINRA Broker-Dealers	2	
Non-FINRA Broker-Dealer Agents	10	
Terminated Non-FINRA Broker-Dealers	1	
# of Effective Broker-Dealer Organizations	2065	% of BDs Home State MA
# of Effective Broker-Dealer Organizations with home address in Jurisdiction	134	6.49%
# of Effective Broker-DealerOrganizations with home address outside of Jurisdiction	1931	
# of Broker-Dealer branches in Jurisdiction for Effective Broker-Dealer Organizations with home address in Jurisdiction	1408	
# of Broker-Dealer branches in Jurisdiction for Effective Broker-Dealer Organizations with home address outside of Jurisdiction	2180	
Registrations - Broker-Dealer Agents (AG)		
# of Effective Agents Individuals	183838	% of BD Agents Home State MA
# of Effective Agents Individuals Residing in Jurisdiction	16124	8.77%
# of Effective Dual Agents/Investment Adviser Representatives Individuals	6467	
# of Effective Dual Agents/Investment Adviser Representatives Individuals Residing in Jurisdiction	4289	
Broker-Dealer Agents with an Approved status	184575	

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Broker-Dealer Agents with a Restricted Approval status	0	
Broker-Dealer Agents with a Pending status	226	
Broker-Dealer Agents with a Termination Requested status	36	
Broker-Dealer Agents with a Deficient status	717	
Broker-Dealer Agents Terminated without Registration	530	
Registrations - Investment Adviser Firms (IA)		
# of Effective Investment Adviser Firms Registered Organizations	926	% of IA Firms Home State MA
# of Effective Investment Adviser Firms with home address in Jurisdiction	705	76.13%
# of EffectiveInvestment Adviser Firms with home address outside of Jurisdiction	221	
Investment Advisers with a Termination/Withdrawn Requested status	12	
# of Effective Investment Adviser Firms Notice Filed Organizations	2573	% of Notice Filed IA Home State MA
# of Effective Investment Adviser Firms Notice Filed with home address in Jurisdiction	576	22.39%
# of Effective Investment Adviser Firms Notice Filed Organizations with home address outside of Jurisdiction	1997	
Investment Advisers with a Notice Filed Received/Reviewed status	159	
Investment Advisers with a Notice Filed Removal Requested at End of Year status	37	
Investment Adviser Brochures New Brochures Submitted	656	
Investment Adviser Brochures amended brochures submitted	1976	
Investment Adviser Brochures retired	1107	

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# of Investment Adviser Brochures with a Delivered status	1558	
# of Investment Adviser Brochures with a Pending status	10	
# of Investment Adviser Brochures with an Accepted status	219	
Registrations -Exempt Reporting Advisers		
# of ERA-Active Organizations	272	
# of ERA-Active Organizations with home address in Jurisdiction	226	
# of ERA-Active Organizations with home address outside of Jurisdiction	46	
Registrations -Investment Adviser Representatives (IAR)		
# of Effective Investment Adviser Representatives	10066	% of IA Representatives Home State MA
# of Effective Investment Adviser Representatives Residing in Jurisdiction	6721	66.77%
# of Effective Investment Adviser Representatives Registered with State-Registered IA Organizations	1359	% of IAR with MA State Reg IA
# of Effective Investment Adviser Representatives Registered with Notice Filed IA Organizations	8845	13.50%
# of Investment Adviser Representatives with a Deficient status	115	
# of Investment Adviser Representatives with a Termination Requested status	25	
# of Investment Adviser Representatives with a Pending status	261	
# of Investment Adviser Representatives with a Restricted Approval status	126	
Registrations - Issuer Agents		
Issuer (Firms) With Agents	36	
Issuer-Agents	87	
Terminated Issuer (Firms)	8	
Terminated Issuer-Agents	11	

Enforcement Section

Enforcement Staff: 13

Total Complaints	480
Total # of Inquiries & Referrals	329
Total # of Investigations	151
Total # of Inquiries (closed)	220
Total # of Investigations (closed)	105
Total Complaints filed	9
Total Consent Orders Filed	13
Total Fines* †	\$700,685.00
Total Restitution* †	\$1,305,916.73

*the worker and small investor fund (\$500,000) is excluded from these numbers

[†] includes RICE administrative matters that resulted in fines and restitution

State House Tours Division

State House, Room 194 Boston, MA 02133 (617) 727-3676 Email: mastatehousetours@sec.state.ma.us Website: www.sec.state.ma.us/trs

The mission of the State House Tours Division, pursuant to the Massachusetts General Laws, in the Acts of 1968, Chapter 714 is to provide for guided tours of the Massachusetts State House.

The Tours Division offers three distinct tours – the general architectural/historical tour, the legislative process tour and a new special tour- the Civil War tour (related to artifacts and history of MA during the Civil War)

The Tours Division serves as a central information desk and phone line for visitors and citizens regarding Boston or State House history and local tourist information, resources and information on state government and the various government agencies. We provide various brochures on related topics and foreign language translations as well as large print and braille translations. Based on updated visitation trends to Boston we added a new written translation of our tour in Korean.

The Tours Division administers a thriving volunteer program which trains volunteer guides- both adults and students- how to conduct tours and serve as a liaison between legislators and their constituents. We currently have enrolled 19 adult volunteers who serve September through May (thru increased recruitment efforts we added 2 new members to the adult volunteers) and 100 student volunteers who serve mostly during the summer (June – August) which is our busiest season for tourists. We sponsor continuing education tours for our volunteers to the John Adams Courthouse and other related Freedom Trail sites. We provide recommendation/reference letters to all students who successfully complete the summer program.

The Tours Division assists in various special events and exhibits. We produced an informative exhibit on the old senate chamber to use on tour while the current senate chamber was under renovation. We participate in Harborfest/ Freedom Trail activities and offer a special Flag Day program to visitors and students . We have increased participation in the annual Holiday Concert Series to include many diverse groups. We sponsor two or three groups each day through the month of December. The biggest increase in visitation was for the month of December. We have also revived the Guides'Gazette newsletter to a monthly review instead of a quarterly newsletter.

The Tours Division runs a small gift/souvenir area known as the State House Gift Cart. Inventory is maintained to provide books on history, souvenirs and items related to the State House. The newest product is a full color paperback book on the fifty state capitols. We have seen an increase in number of visitors who specifically tour all of the state capitols. We also have several custom State House ornaments. The newest ornament is a brass pinecone which is a reference to the pinecone atop our State House dome.

The 2018 Visitation for the State House Tours Division was approximately 94,800 people. This represents a slight decrease from the previous year. This includes student field trip groups from MA and surrounding areas, visitors, citizens and special guests.

State Publications and Regulations Division

State House, Room 117 Boston, MA 02133 (617) 727-2831 Email: regs@sec.state.ma.us Website: www.sec.state.ma.us/spr

The State Publications & Regulations Division is comprised of the Regulations section and the State Bookstore.

The Regulations section edits and publishes the Code of Massachusetts Regulations while also publishing the Acts & Resolves, the Massachusetts Register and the two publications for state, county and local government bid notices entitled the Goods & Services Bulletin and the Central Register.

The State Bookstore sells all the state regulations (CMR) and many other state publications including election statistics, environmental documents and a state register of historic places. It also sells various Massachusetts themed souvenirs to accommodate the thousands of tourists who visit the state house each year.

Highlights/Accomplishments of FY18

- Edited and published 418 regulations that were filed by various state agencies.
- Published the 2016 Acts & Resolves hardbound edition.
- FY18 total revenue Bookstore sales increased 23% from the previous FY.
- Online revenues increased 19% from previous FY.
- Revenue sales of souvenirs/gifts increased 7.4% from previous FY.
- Building Code sales more than doubled approximately 110% due to publication/release of the 9th Edition.

Regional Offices

Southeastern District Office

218 South Main Street, Suite 206 Fall River, MA 02721 (508) 646-1374 Email: isabel.kochman@sec.state.ma.us Website: www.sec.state.ma.us/wso

The Southeastern District Office, of Fall River, continually strives to provide excellent service to the citizens of MA on a wide variety of tasks. Below is the list of services that we provide in this District office.

Elections

- State election candidate information
- Provide nomination papers to candidates
- Filing of certified nomination papers
- Election laws and statistics
- Pamphlets on election procedures
- Provide voter registration forms
- Organize and participate at voter registration drives at area high schools

Corporation Division

- Good Standing Certificates
- Legal Existence Certificates
- Various Certificates
- Certified Copies
- Name Reservations
- Corporate database search upon request

Public Records

- Administer the oath of office to public officials, notaries, justices of the peace and governor appointees
- Certify signatures of public officials and affix Apostilles and Certifications to documents for foreign and domestic use
- Handle daily email requests regarding Apostilles and Certifications
- 28 Secretary of the Commonwealth Annual Report FY 2018

State Bookstore

- Sale of books and publications of the laws and regulations of MA (CMR's & MGL's)
- Maintain state publications current

Citizens Information Services

- Handle incoming calls and email requests for information regarding other state offices and agencies
- Provide free publications on various subjects of public interest and general information
- Fluent Portuguese spoken

The office also performs and assists at Naturalization Swearing-in Ceremonies in Bristol County

The goal of the Southeastern District Office is to continue to provide the citizens of MA with the most updated information along with excellent and prompt service whether it is through mail, phone, e-mail or walk-in. We will strive to continue to make the office of the Secretary of the Commonwealth extremely userfriendly.

Western District Office

436 Dwight Street, Room 102 Springfield, MA 01103 (413) 784-1376 Email: cathy.molta@sec.state.ma.us Website: www.sec.state.ma.us/wso

Mission: To make the services of state government more accessible in a location convenient for residents of Berkshire, Franklin, Hampden, Hampshire, and western Worcester counties.

Public Records:

The Western Office administered the oath of office to public officials, notaries public and justices of the peace. This office also certified the signatures of public officials and affixed apostilles to documents going out of the country.

Corporations:

The Western Office provided information over the phone about business entities doing business in Massachusetts. This data includes the date of incorporation, location, and the names of the officers. This office also provided certificates of Good Standing, Legal Existence, and Certified Copies as well as Name Reservations for Corporate Entities.

Elections:

The Western office provided state election candidate information, nomination papers for those seeking office, election laws and statistics, and "how to" pamphlets on election procedures. We accepted nomination

papers for filing from candidates for many offices in the 2018 State Election. Voter registration forms are also available.

State Bookstore:

The Western office has several publications available for purchase as well as many informational pamphlets that are free of charge.

Outreach:

The Western Office had a booth at the Big E in West Springfield during the last two weeks of September. We conducted a voter registration drive there and registered over 200 people. We gave away a number informational pamphlets and maps from our different divisions within the office. In addition, we conducted a voter registration drive for National Voter Registration Day at West Springfield High School. We participated in Senator Eric Lesser's Thrive After 55 Wellness Fair at Western New England College where we provided information and resources for Western Mass. seniors.